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UNIVERSITY OF ALBERTA

MOTIVIC UNITY AND FORM IN THE FIRST MOVEMENT OF SCHUBERT'S "GREAT" C MAJOR SYMPHONY

BY

GREGORY JOHN MARION

A THESIS

SUBMITTED TO THE FACULTY OF GRADUATE STUDIES AND RESEARCH IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE OF: MASTER OF MUSIC

IN

MUSIC THEORY

DEPARTMENT OF MUSIC

EDMONTON, ALBERTA

SPRING, 1991

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To every thing there is a season, and a time to every purpose under the heaven.

Ecclesiastes 3:1

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L. PENROD

Date: April 9, 1991.

To the memory of my father,

J. A. Marion.

ABSTRACT

By the nineteenth century, symphony was widely regarded as the foremost instrumental genre. Franz Schubert's expansive C Major Symphony, D. 944 (the "Great"), attests to his maturity as a composer in this genre.

Analysis of the first movement of the "Great" demonstrates that melodic gesture--defined as anything from individual foreground motives to concealed middleground structural referents--and not merely formal design, unifies the work. Caution must always be exercised in generalizing about musical form, for, as Charles Rosen has pointed out, "the dangerous aspect of the traditional theory [of sonata form] is the normative one . . . The assumption that divergences from the pattern are irregularities is made as often as the inference that earlier eighteenth-century versions of the form represent an inferior stage from which a higher type evolved."[1]

Ultimately it is Schubert's control of the melodic/formal relationship--and not his adherence to preconceived ideals about sonata form, or manipulation of "irregularities" within a standard mold--that generates this substantial work of art.

---

[1] Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven*, (New York: W. W. Norton and Co. Inc., 1972): 32.

PREFACE

The context for Schubert's symphonies is very different from that of his *Lieder*. To claim that Schubert is universally recognized as a master of intimate vocal settings is scarcely an overstatement. In terms of quantity alone, his *Lieder* output is nearly beyond comprehension.[1] But what is perhaps even more astonishing is the consistency of style and high quality of his vocal output. We do not in any way need to apologize for *Erlkönig* as the work of an immature, but enthusiastic 18-year-old composer, for the song is hardly inferior to *Der Doppelgänger* (from *Schwanengesang*)--a piece representative of the craft of a 31-year-old who has complete control of the genre.

The same consistency of style and high quality is not characteristic, however, of either Schubert's instrumental works in general, nor of his symphonies in particular. By way of illustration, we need only to compare two works that date from roughly the same periods in his life as *Erlkönig* and *Der Doppelgänger*: Symphony No. 3 in D, D. 200 (composed in 1815); and Symphony No. 9 in C, D. 944 (the "Great," composed in 1825 or 1828). The earlier of the two symphonies can be regarded as little more than a student work, while the later ranks among the most memorable of all instrumental compositions.

---

[1] In his 31 years Schubert composed more than 600 *Lieder*.

The precise year of composition of Symphony No. 9 has been a contentious issue for decades. The first page of the autograph score (housed at the *Gesellschaft der Musikfreunde* (A 245)) is dated "März, 1828."[2] But Robert Winter, along with other scholars,[3] provides nearly incontestable evidence that the composition was most likely completed--perhaps even in fair copy--in the summer of 1825, and that the "Great" and the supposedly lost "Gmunden-Gastein" Symphony, D.847, are, in fact, one and the same work.

Whether the "Great" C Major was composed in 1825 or 1828, it is in either case Schubert's last symphony, and it represents something of a personal triumph for him. Perhaps it is too romantic a notion to suggest that the Ninth results from a "lifelong ambition to write a 'grand symphony'";[4] nevertheless, two related points must be kept in mind. First, Schubert did struggle with the genre. Proof of this struggle may be gleaned from perusal of his orchestral work-list.[5] The fact is that there are nearly as many entries for "fragmentary," "sketched," or "incomplete" compositions as there are for finished ones.

---

[2] See Robert Winter, "Schubert's Undated Works: a New Chronology," *Musical Times* 119 (1978): 500; and L. Michael Griffel, "A Reappraisal of Schubert's Methods of Composition," *The Musical Quarterly* 63/2, 1977: 201.

[3] In addition to the entries under Winter and Griffel in the bibliography of this thesis, also see under Badura-Skoda, Brown, and Reed. For a different perspective, see under Deutsch.

[4] John Reed, "The Gastein Symphony Reconsidered," *Music and Letters*, 40/4 (1959): 346.

[5] See Maurice J. E. Brown with Eric Sams, *The New Grove Schubert,* from *The Composer Biography Series* (New York: W. W. Norton & Co., (reprint ed.) 1984): 116-117.

The second issue to be kept in mind when contemplating the "Great" is that--regardless of its actual date of composition--the Symphony comprises a complete four-movement cycle. This point cannot be passed over lightly, for prior to the Ninth, Schubert had last completed a symphony in 1818; this is Symphony No. 6 in C, D. 589 (the "Little"). In the intervening years stand two incomplete works, Symphony No. 7 in E, D. 729 (partially drafted in score), and the more-famous Symphony No. 8 in b, D. 759 (the "Unfinished").

In view of the apparent importance of the Ninth to Schubert, it is an appropriate irony that the composition received its first performance only in 1839, eleven years after the composer's death.

ACKNOWLEDGEMENTS

The completion of this work would not have been possible without the help of several individuals. I would first like to thank Drs Alfred Fisher and Lynn Penrod for taking the time to serve as secondary readers of the thesis. Their willingness to participate in this project is tangible proof that the academic community is indeed supportive of junior scholars.

Words cannot adequately express my gratitude to Dr Christopher Lewis. As my thesis supervisor, he has been: encouraging; tolerant; enthusiastic; provocative; understanding; sympathetic; knowledgeable; and professional. Dr Lewis is my mentor, Chris is my friend. Thank you, friend, for everything.

My wife, Anne, deserves special recognition. Not only has she shared in the happy moments of the "thesis process," but more importantly, she has endured the many trying periods. Anne has always been empathetic, but especially-so in the more difficult times. Without her encouragement, none of this would have been possible or meaningful.

My final acknowledgement goes out to my father, who died in 1982. Were it not for his guidance, his nurturing, and his measureless devotion to his family, my perception of, and commitment to, what is important in life would lack focus. It is to him, my best friend, that I humbly dedicate this scholarship.

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ABBREVIATIONS

Abbreviation	Definition
A.C.	authentic cadence
bg.	background
c.s.	consonant skip
Devt.	development
Expos.	exposition
fg.	foreground
H.C.	half cadence
Intro.	introduction
mg.	middleground
nbn.	neighboring note (used when referring to a deeper middleground event)
n.t.	neighboring tone (used when referring to a foreground event)
p.t.	passing tone
Recap.	recapitulation
T.G.	theme group

CHAPTER I

A Study of Theme Group 1 in the Exposition and in the Recapitulation

By stating only the obvious, that the return of the first theme group is followed by a tonic presentation of theme group two, many older treatises on form oversimplify the role of the recapitulation in sonata-form movements.[1] These sources undermine the very essence of the form by failing to explain how or why the second theme returns in the tonic, for the general description of recapitulation, while applicable to countless movements,[2] does not recognize that the treatment of the second theme is unique to a particular work. Foreground and middleground analyses of the first movement of Schubert's Ninth Symphony reveal that key choice is not a matter of convention, but is precipitated by the compositional demands of the piece itself.

Figure I-1 is an overview of the tonal progress in the exposition and the recapitulation of Schubert's Symphony.

---

[1] See, for example, Ebenezer Prout's *Applied Forms* (London: Augener Ltd., 1895), 182-194 (especially §313), and Stewart MacPherson's *Form in Music*, (London: Joseph Williams Ltd., 1930), 115-167.

[2] That description is most accurately used when discussing early sonata-form works, for there it applies almost without exception. The first movements of the three major-mode sonatas in C. P. E. Bach's *Wirtemberg* Sonatas (1742-44) serve as examples. But as the form evolved, harmonic polarization noticeably became part of the melodic fabric rather than an independent matter (see Chapter Two for a more detailed discussion of this phenomenon).

While the analysis is limited, it does reveal important aspects of, and differences between, the exposition and the recapitulation.

Figure I-1: Tonal Overview (Expos. and Recap.)

EXPOS.:	T.G. 1					T.G. 2	
measure	78	110	122	128	130	134	174
tonal region	I	IV	I	V	I (A.C)	iii	V

RECAP.:	T.G. 1			T.G. 2				CODA
measure	356	392	424	440	460	492	546	570
tonal region	I	III	V (H.C.)	i	vi	I	V	I

The tonal motion in the first theme group of the exposition is fully closed by the authentic cadence in measure 130. This degree of closure immediately before the initial statement of the second theme group in sonata-form movements is unusual, even if, as commonly occurs in the Classical era, the "transition" is non-modulating.[3] When the first group in the exposition concludes with a back-relating dominant, a direct harmonic connection to the second group may be effected by the literal return of the first group in the recapitulation. Schubert's exposition could, therefore, have been based on the paradigm in figure I-2(a); because it is not, theme group one must be altered in the recapitulation if it is to cadence on the dominant.[4]

---

[3] I consider "transitions" to be components of first theme groups.

Figure I-2: Theoretical and Actual Tonal Events
(Expos. and Recap.)

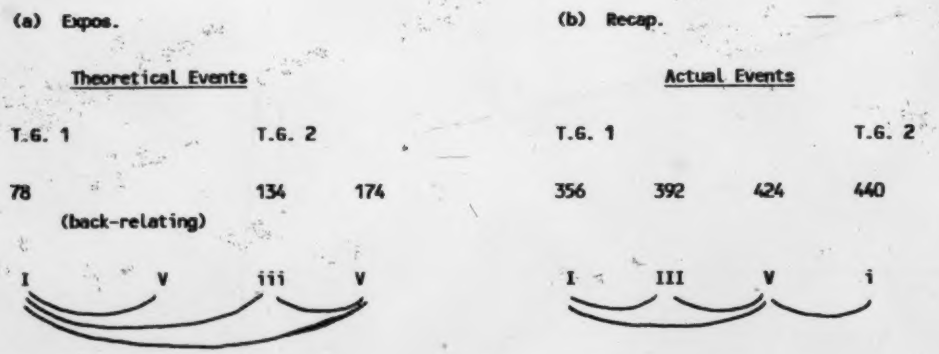


Figure I-3 is a schematic overview of theme group one in both the exposition and the recapitulation. The divisions within each area are referred to in the following way: E1, E2, E3 (*etc.*) correspond to segments one, two, and three in the exposition; R1, R2, R3 (*etc.*) represent segments one, two, and three in the recapitulation.

The first sixteen measures of the exposition (E1) are identical to the first sixteen measures of the recapitulation (R1), and represent an upper-voice

---

[4] A parallelism in function would exist between the conclusion of theme group one in the exposition and its counterpart in the recapitulation if the final measures in this portion of the exposition had reached the dominant of iii, for then each section would serve as a harmonic preparation for the opening of theme group two.

Figure I-3: Schematic Overview (T.G. 1, Expos. and Recap.)

Exposition

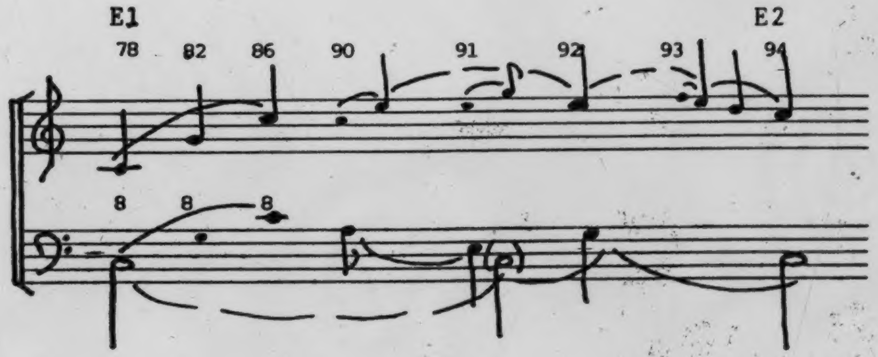
T.G. 1						T.G. 2
measure #:	78	94	102	110	122	134
SEGMENT:	E1	E2	E3	E4	E5	
length of segment:	16 mm.	8 mm.	8 mm.	12 mm.	(8 + 4) 12 mm.	

Recapitulation

T.G. 1							T.G. 2
measure #:	356	372	380	392	404	424	440
SEGMENT:	R1	R2	R3	R4	R5	R6	
length of segment:	16 mm.	8 mm.	12 mm.	12 mm.	20 mm.	(12 + 4) 16 mm.	

arpeggiation through the tonic chord to $\hat{3}$ (e^5) in measure 92 (m. 370 in R1); this arpeggiation is followed by a stepwise descent to $\hat{1}$ (see figure I-4).

Figure I-4: Middleground Reduction of mm. 78-94



Caution must be exercised when reading the middleground analysis in figure I-4. Specifically, the significance of the arpeggiation into $\hat{3}$ must not be overstated, for e^5 (m. 92) does not represent the head-tone.[5] Not only is it supported by dominant, rather than by tonic harmony, but $\hat{2}$ and $\hat{1}$ (mm. 93 and 94 respectively), sounding an octave higher than they are shown in figure I-4, are registrally isolated from e^5. Melodically, then, the foreground registral displacement in the progression $\hat{3} - \hat{2} - \hat{1}$ ($e^5 - d^6 - c^6$) subordinates the role of e^5 (see figure I-5(a), a reproduction of mm. 90 through 94, and figure I-5(b), a lower-level reduction[6] of the same material).

The true head-tone of the movement is established at the conclusion of E2 and--because the second segments in the exposition and the recapitulation are identical--R2. Figure I-6(a) is a quotation from the exposition (mm. 94-102), while figure I-6(b) provides a reduction highlighting the ascent to e^6, $\hat{3}$.

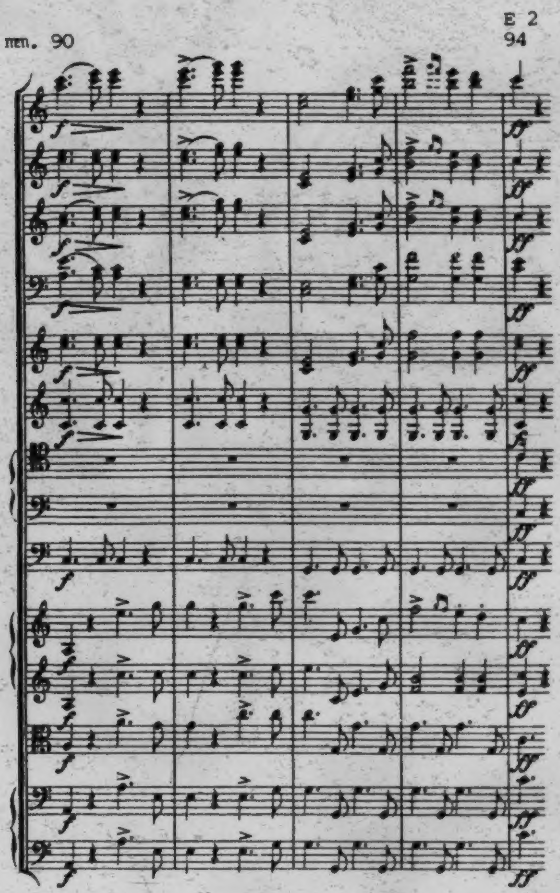
---

[5] In this context, the term refers to the head-tone of the *entire* movement.

[6] Lower-level reductions are defined as being closer to the foreground.

Figure I-5: mm. 90-94 (Actual and Reduction)

(a)



(b)

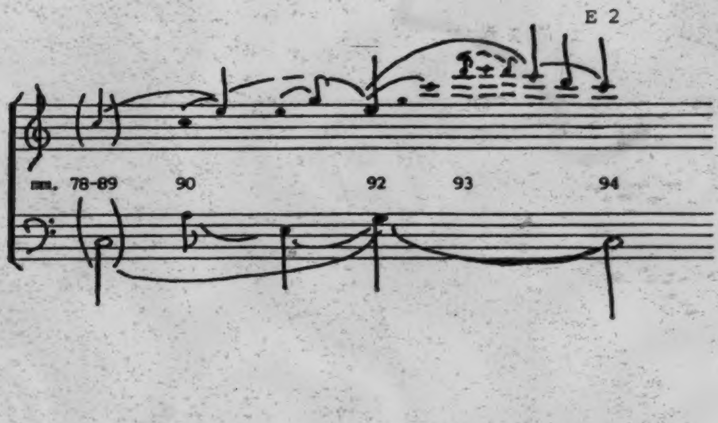
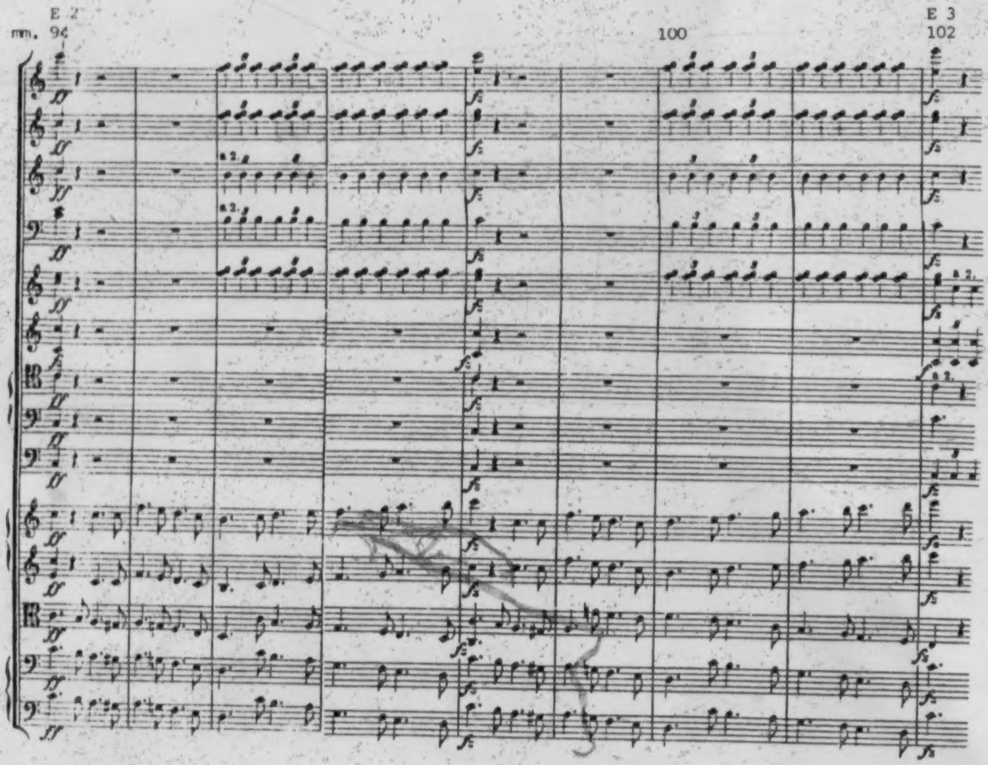
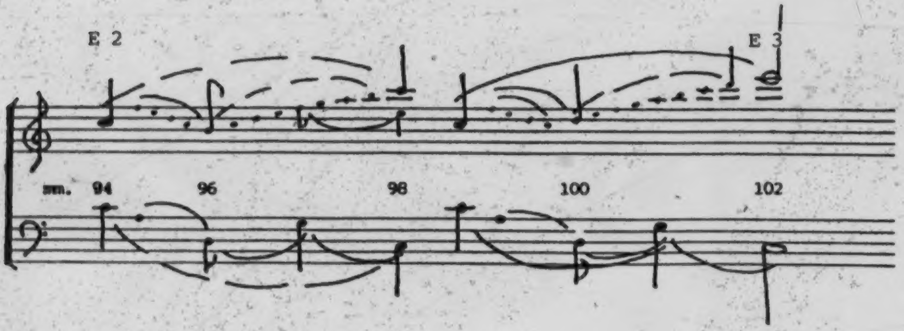

E 2
mm. 78-89
90
92
93
94

Figure I-6: Initial Ascent to the Head-Tone

(a)


E 2
mm. 94
100
E 3
102

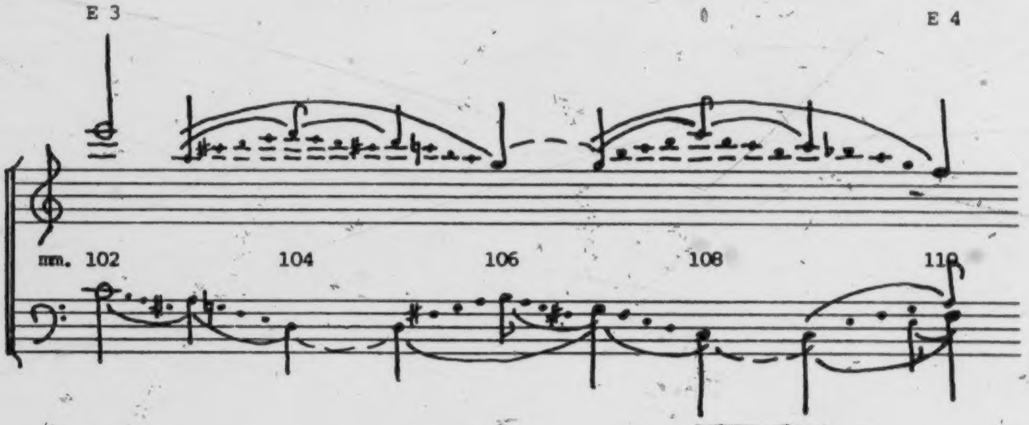
(b)


E 2
E 3
mm. 94
96
98
100
102

The coinciding tonic harmonic support and prominent melodic articulation in measure 102 are significant factors endorsing the notion that this e^6 is the initial articulation of the head-tone, but additional factors will be cited elsewhere.[7]

Segments E3 and R3 are not identical, and the difference proves to be of fundamental importance to the structure of the movement as a whole. In E3, which is eight measures long, a sequence leads to the tonicization of F for the beginning of the next segment (see figure I-7).

Figure I-7: The Establishment of F Major in E4



In R3, however, by avoiding B flat in the upper voice of measure 387, Schubert bypasses the tonicization of F. Instead, R3 is extended to twelve measures and concludes with the arrival of a dominant-functioning B-Major chord (see figure I-8).

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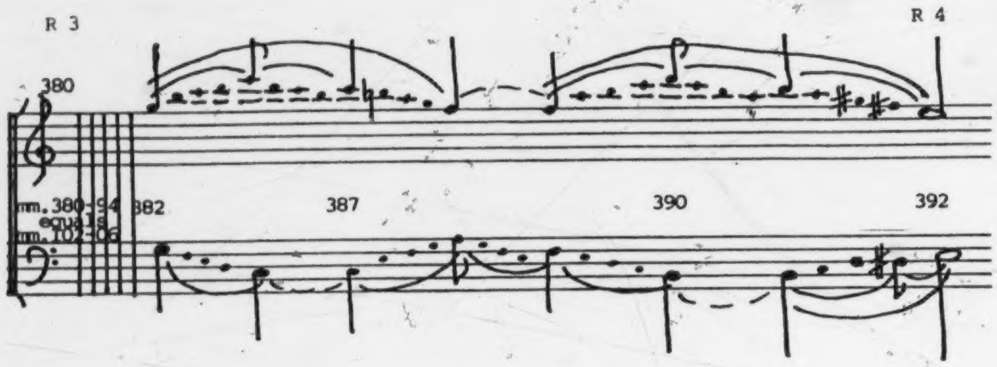
[7] See, for instance, the discussion concerning the function of the final segment of the exposition's first theme group (p. 11 below).

Figure I-8: The Establishment of E Major in R4

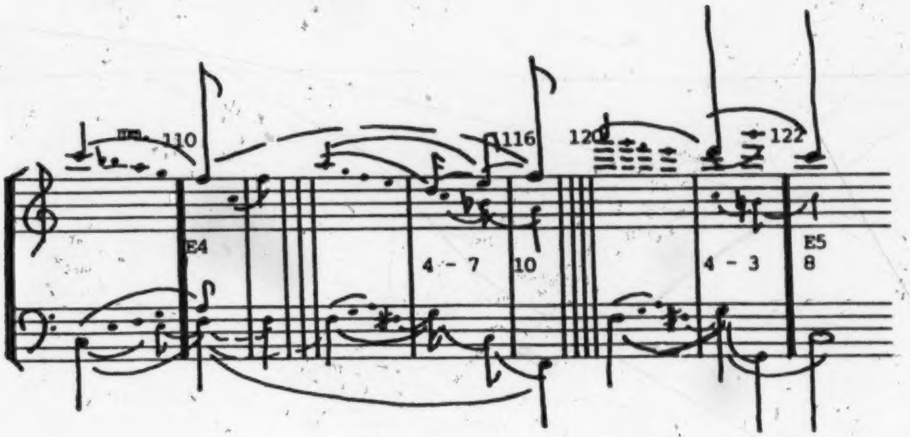


The first distinction between E4 and R4, then, is that E4 begins in F Major, while R4 opens in E Major. But what is not immediately apparent is that the surface-level gestural similarities between these segments are only smoke screens, masking fundamental structural differences between the exposition and the recapitulation.

E4 comprises two nearly-identical six-measure phrase segments in an antecedent/consequent relationship. The antecedent remains in F Major, while a simple alteration leads the consequent back to C Major (m. 122) for the elided conclusion of E4 and the opening of E5 (see figure I-9).

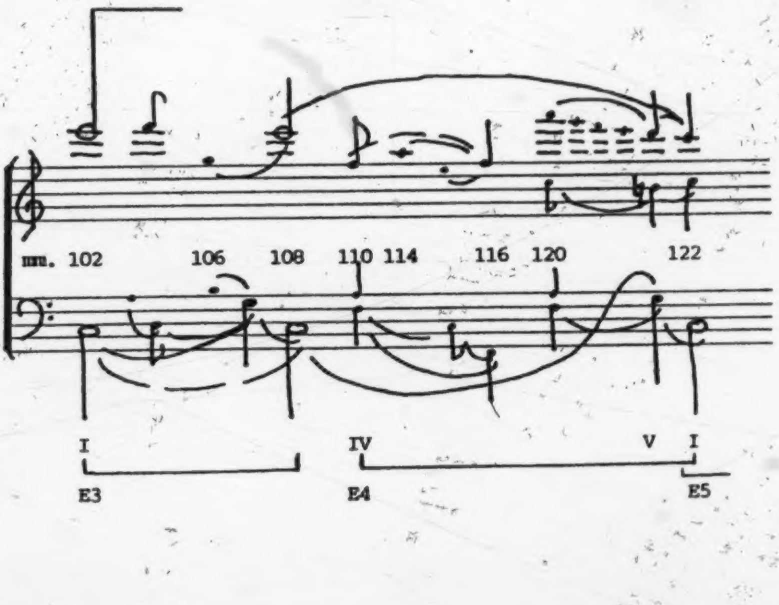
In order to understand the deeper structural meaning of E4, however, one must examine it in the context of its surroundings. Figure I-10--a middleground reduction of measures 102 to 122 (E3 to the opening of E5)--exposes a

Figure I-9: E4 in Reduction


mm. 110
116
120
122
E4
4 - 7
10
4 - 3
E5
8

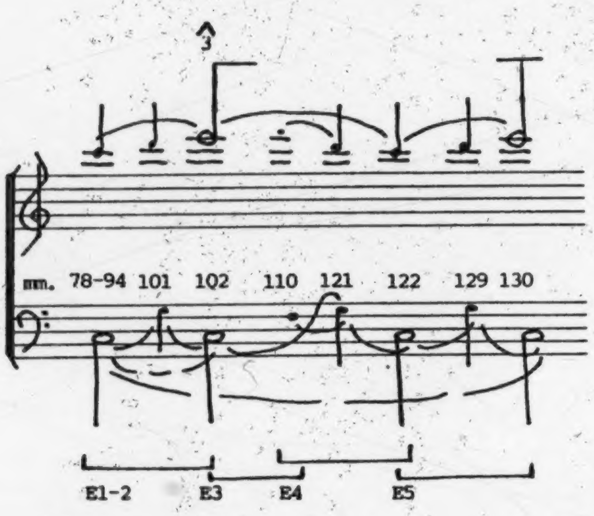
third-progression from the head-tone in measure 102, to c^6 in measure 122. Recognition of the underlying melodic descent clarifies the function of E4, for it indicates that the subdominant tonal region is part of a larger tonic prolongation. In one sense, then, E4 serves as a harmonic preparation for segment E5 (see figure I-10).

Figure I-10: Middleground Reduction of mm. 102-122


mm. 102
106
108
110 114
116
120
122
I
IV
V
I
E3
E4
E5

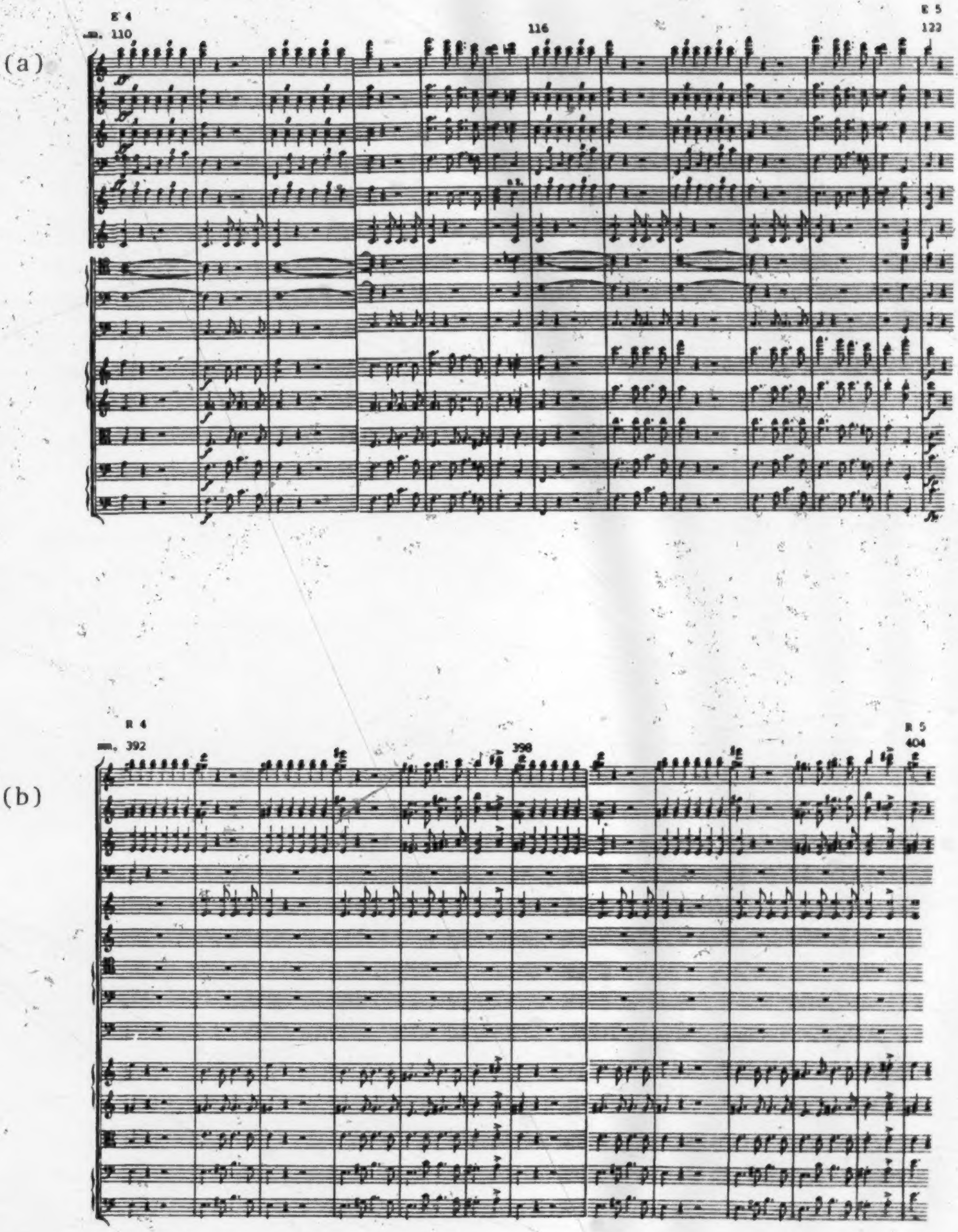
Perhaps the most striking aspect of E5, the final portion of the first group in the exposition, is that it is an exact repetition of E2. Logic dictates that the function of the two segments must be identical, and just as E2 led to the initial presentation of the head-tone in measure 102, so E5 leads to its re-establishment at the conclusion of theme group one. In a deep middleground sense, then, the first theme group of the exposition represents a large-scale melodic prolongation of e^6 as $\hat{3}$ (see figure I-11).

Figure I-11: Deep-Middleground Analysis T.G. 1, Expos.



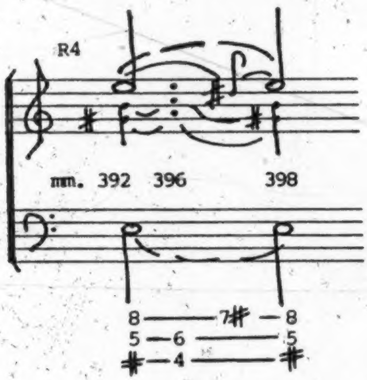
Beginning with R4, the course of events in the recapitulation is very different from that in the exposition. Figure I-12 presents both E4 and R4.

Figure I-12: E4 and R4


(a)
E 4
m. 110
116
E 5
122
(b)
R 4
m. 392
398
R 5
404

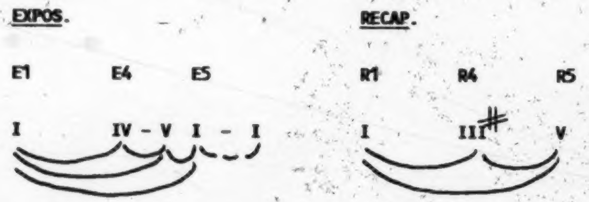
Unlike E4, the two phrase segments of R4 are identical, rather than antecedent and consequent. In addition, the voice-leading techniques of R4 are not the same as those of E4. In E4, applied dominant chords prolong F Major, while the E Major of R4 is prolonged by a neighboring 6/4 (see figure I-13).

Figure I-13: The Prolongation of E Major in R4



Further, while E4 was part of a large-scale tonic prolongation in C Major, R4 functions as a third-divider[8] in the progression from I (R1 - R3) to V (R5 and R6) (see figure I-14).

Figure I-14: Harmonic Paths, T.G. 1 (Expos./Recap.)



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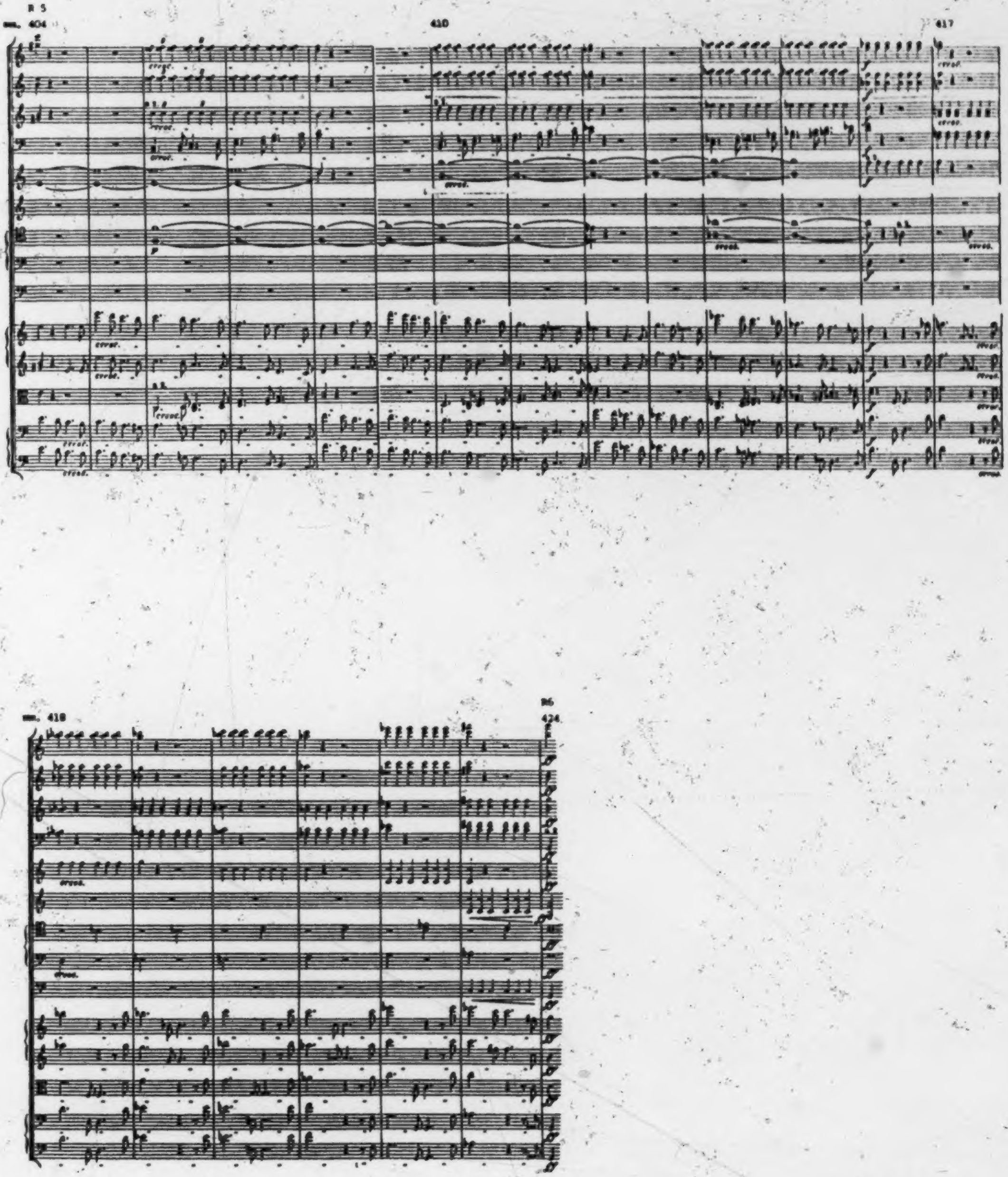
[8] The concept of third-dividers is examined by Allen Forte and Steven Gilbert in *Introduction to Schenkerian Analysis*, (New York: W.W. Norton & Co. Inc., 1982): 104-5.

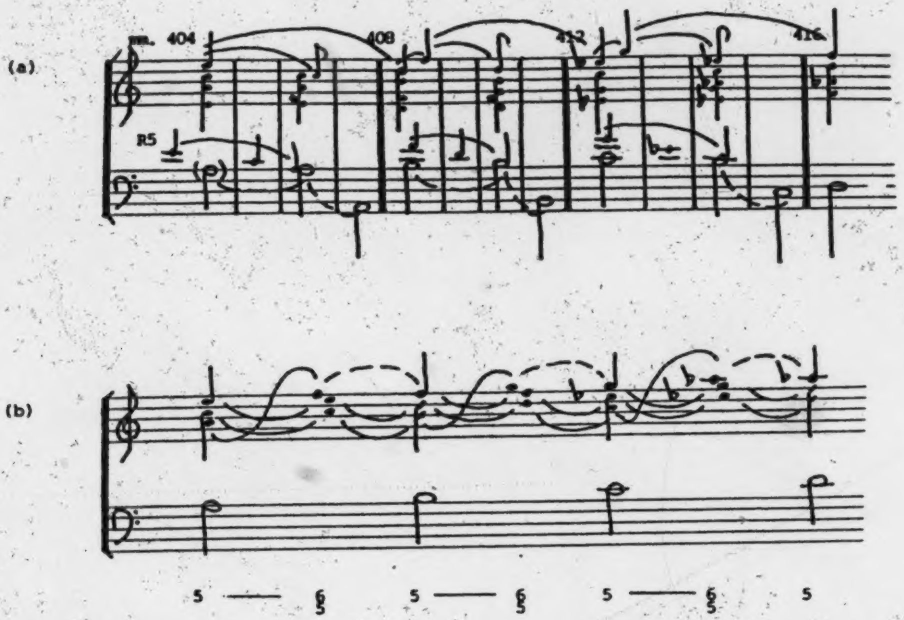
Figure I-15 is a reproduction of R5, measures 404-424.

Figure I-15: R5


R 5
mm. 404
410
417
mm. 418
R6
424
cresc.

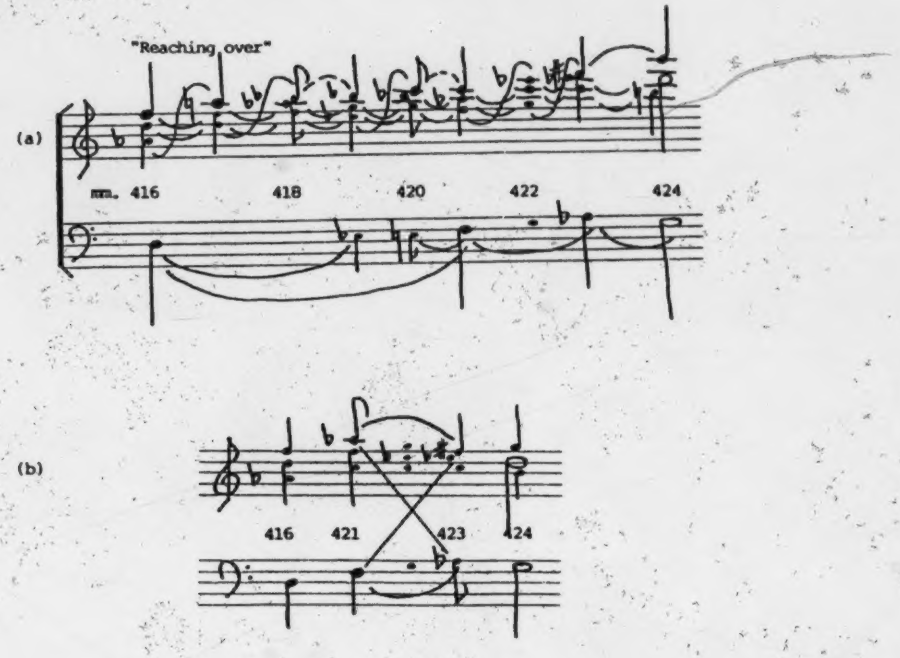
R5 is unlike any segment in the exposition, in either character or function. It begins with three sequentially-related four-measure sub-phrases, and concludes with a single eight-measure sub-phrase. Figure I-16(a) summarizes the contrapuntal implication of the first twelve measures of R5. Figure I-16(b) explicitly reveals the 5 - 6 voice-leading technique on which these measures are patterned.

Figure I-16: mm. 404-416, in Reduction



The last sub-phrase in R5 breaks the surface-level sequential motion, but maintains the 5-6 melodic patterning of the preceding twelve measures, ultimately leading to an augmented sixth chord in measure 423. This German sixth resolves conventionally, to the dominant of C, for the beginning of R6--the final segment in theme group one of the recapitulation (see figure I-17).[9]

Figure I-17: mm. 416-424, in Reduction



The first twelve measures of R6 (mm. 424-435) represent an exact transposition of R4--from the major mediant to the dominant of C (see figure I-18)--but R6 concludes with four measures not found in R4, and these measures link the end of theme group one with the beginning of theme group two. Herein lies a fascinating feature of the movement: while the final four measures of theme group one in the recapitulation (mm. 436-439) are transpositionally similar to the final four measures of theme group one in the

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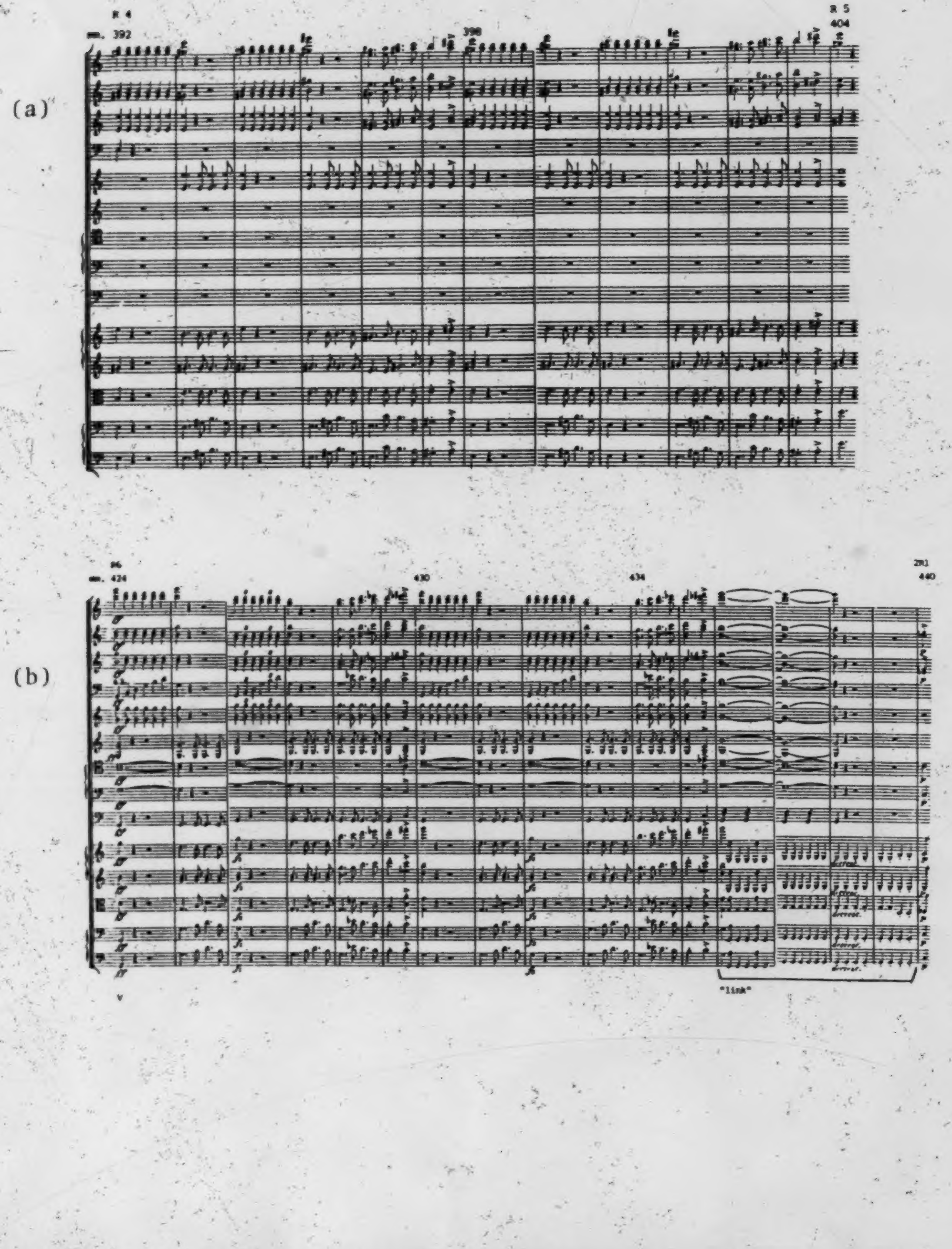
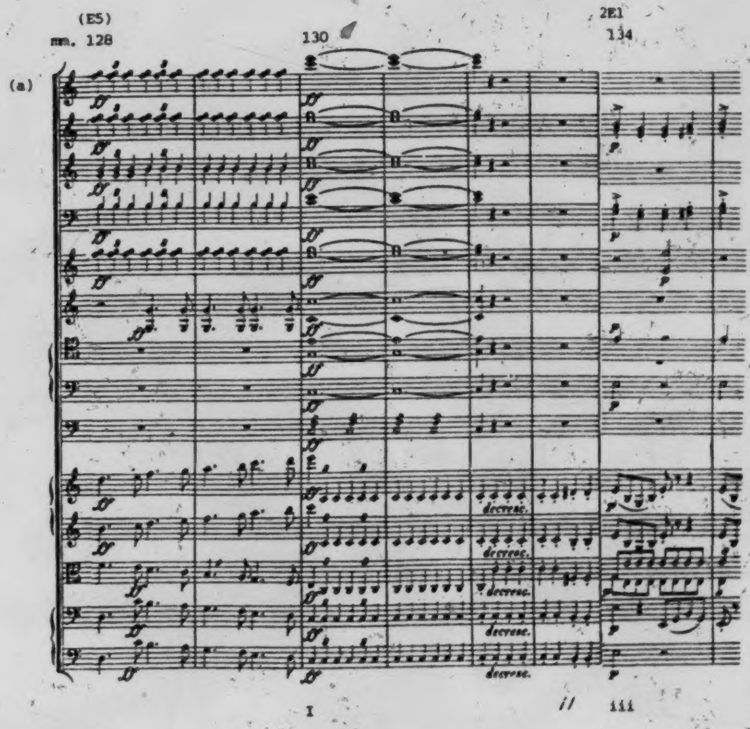
[9] Locally, R6 is in the key of G Major; but at the background, this G functions as the dominant preparation for C, which arrives with the opening of theme group two in m. 440.

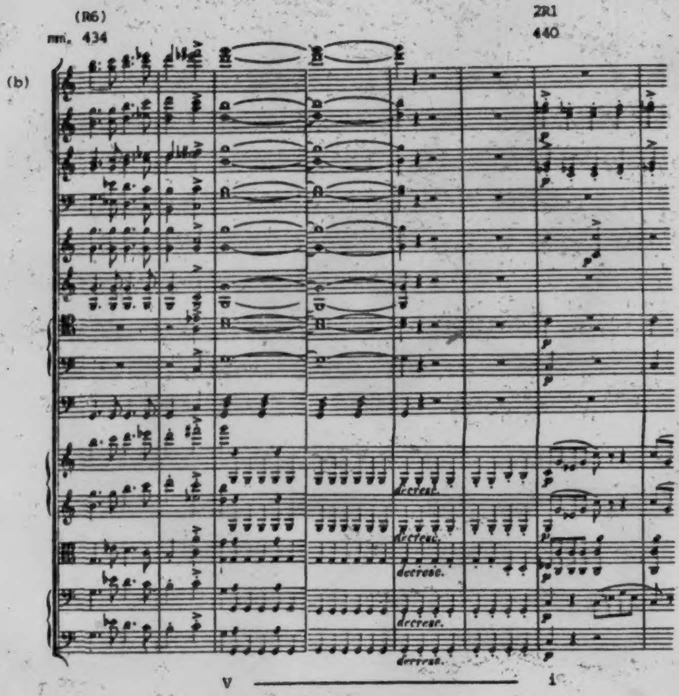
Figure I-18: R4 and R6


(a)
R 4
m. 392
398
R 5
404
(b)
R6
m. 424
430
434
2R1
440
decresc.
"link"

exposition (mm. 130-133), the two passages are fundamentally different. In the exposition, measures 130-131 articulate the tonic chord of an authentic cadence that provides theme group one with full closure. By virtue of the fact that theme group one is fully closed at measure 131, measures 132-133 are not melodic components of it; instead, they offer an economical means of modulating to E minor for the opening of theme group two in measure 134 (see figure I-19(a)). In the recapitulation, however, each of the four measures preceding theme group two prolongs G as V of C, and, hence, they are all melodic components of the recapitulation's first theme group (see figure I-19(b)).

Figure I-19: The Concluding Measures of E5 and R6

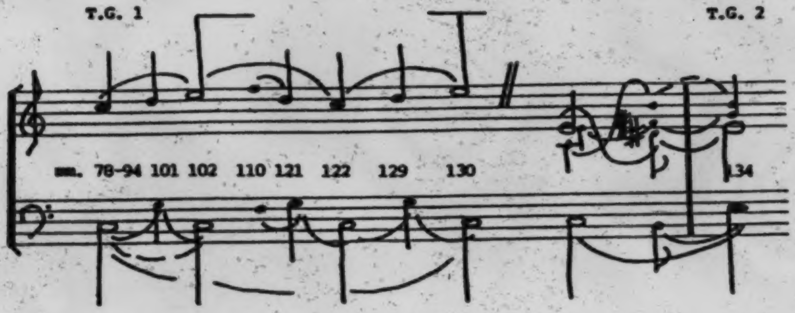



(R6)
mm. 434
(b)
ZR1
440
decresc.
v
i

In order to appreciate this distinction, we must focus on the deeper structural meaning of the first group in the two sections of the movement.

Figure I-20 is the middleground analysis of theme group one from the exposition including the subsequent modulation to E minor for the opening of theme group two.

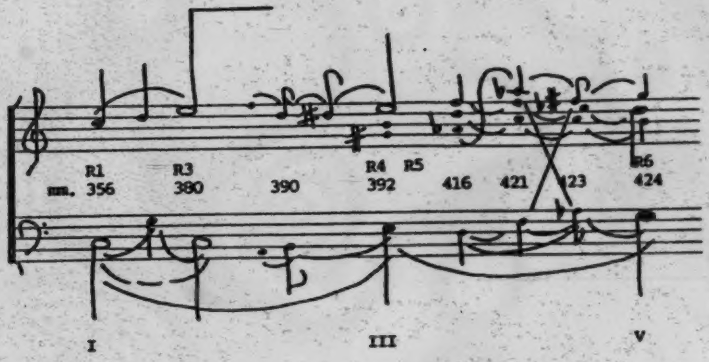
Figure I-20: Middleground Analysis, T.G. 1 to T.G. 2, Expos.


T.G. 1
T.G. 2
mm. 78-94
101
102
110
121
122
129
130
134

The modulation to the mediant for the opening of theme group two occurs in measures 132-133--technically after the conclusion of the first theme group. Measures 78 to 131 are, therefore, heard as a tonic prolongation. By virtue of its brevity and its very nature, the two-measure link into theme group two (mm. 132-133) is atypical, for it resembles a technique usually associated with the connection of a completed exposition to the opening of a development section. Thus, the exposition in this movement is without a true transition, or "bridge," passage. This fact, more than any other, distinguishes theme group one in the exposition from theme group one in the recapitulation, for the recapitulation contains a lengthy transition, namely, R4 through R6.[10]

Figure I-21 presents a middleground analysis of the first theme group in the recapitulation.

Figure I-21: Middleground Analysis, T.G. 1, Recap.



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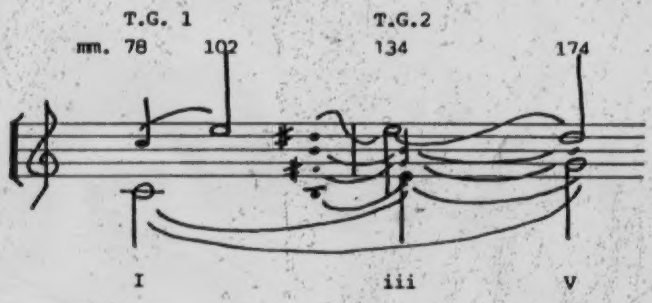
[10] R4 through R6 is, by definition, a transition, for this portion of the recapitulation serves as a harmonic preparation for theme group two (see below).

By comparing figure I-21 with figure I-20, it becomes apparent that the tonal paths in the first theme groups have little in common; in its motion toward the dominant, however, the first theme group of the recapitulation is structurally similar to harmonic events unfolded over the entire exposition.[11]

Figure I-22 is a reduction showing the tonal motion over the course of the exposition.

Figure I-22: Tonal Motion in the Expos.



The second theme group in the exposition begins in E minor, the mediant of C Major, and the establishment of G Major in measure 174 reveals that this mediant is a third-divider between the structural tonic and dominant tonal regions. In a sense, the mediant and dominant tonal regions--not reached until theme group two in the exposition--are "pushed back" in the recapitulation into theme group one (see fig. I-23).

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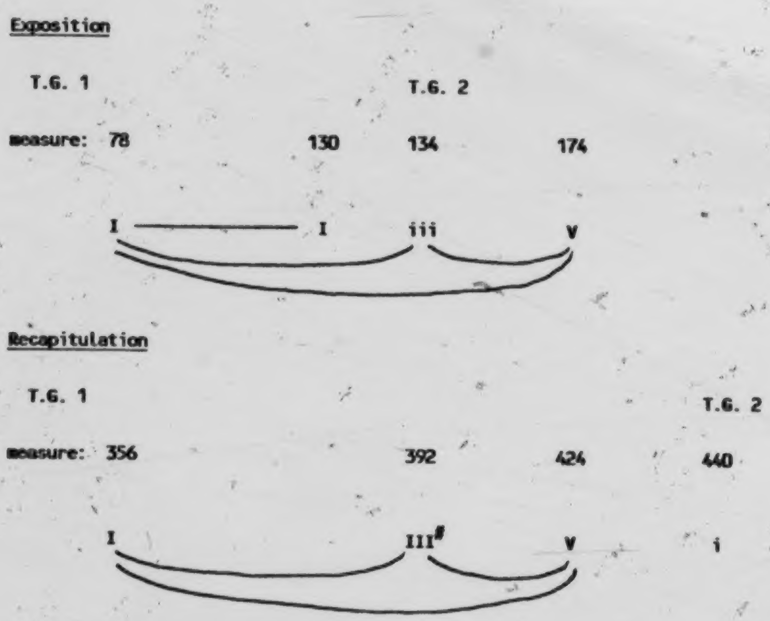
[11] For a detailed discussion of theme group two in the exposition, see Chapter Two below.

Figure I-23: The Motion to V (Expos./Recap.)


Exposition
T.G. 1
T.G. 2
measure: 78
130
134
174
I
I
iii
V
Recapitulation
T.G. 1
T.G. 2
measure: 356
392
424
440
I
III#
V
i

This process makes it possible for Schubert to begin the second theme group of the recapitulation in the tonic--and thus to satisfy one of the fundamental principles of sonata form. On another level, Schubert is also sympathetic to the precise demands of this particular movement, for the tonic minor--established at the beginning of theme group two in the recapitulation (m. 440)--preserves the mode of the opening of the second theme group in the exposition.

Recognition of the modal preservation in the recapitulation (that is, C minor answering E minor from the exposition) demands that we question Schubert's use of E

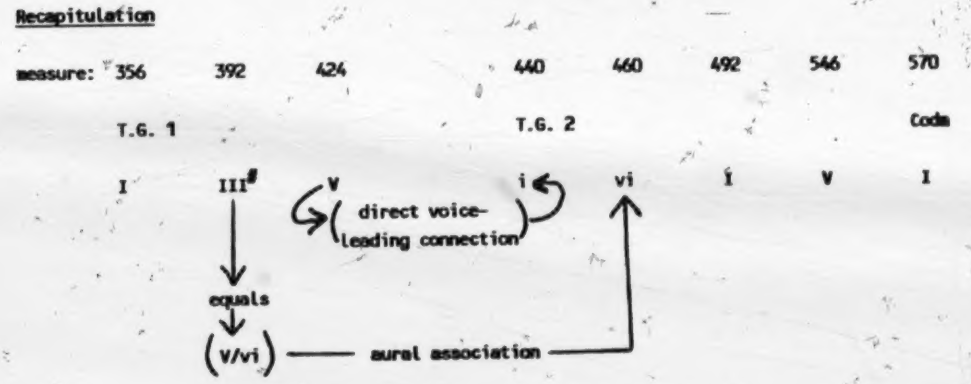
Major as the third-divider in the recapitulation (segment R4). After all, the diatonic mediant chord is E minor, and its use in R4 would duplicate the mode of the third-divider in the exposition. Perhaps Schubert is simply concerned with foreground similarities, and thus the Major mode in R4 answers the Major mode employed in the parallel section of the exposition (E4). The structural designs of E4 and R4 are very different, however, and one could conceive of a minor-mode rendering of R4, save for one important issue. It has already been stated that Schubert begins theme group two in the recapitulation in C minor (m. 440), and he prepares for that key in the transition (R4 through R6).[12] Once attained, however, C minor is not prolonged at length, for within twenty measures Schubert modulates to A minor (m. 460). In fact, as Chapter Five will demonstrate, A minor must be reached in the second theme group of the recapitulation in order to establish the correct tonal hierarchy for the remainder of the movement.

In the light of this evidence, we can re-evaluate Schubert's use of the Major mediant in R4. It is possible that this segment functions as a dominant preparation for the A-minor section in theme group two of the recapitulation. To be sure, there is no direct voice-leading connection between R4 and measure 460, but, rather, an aural association that anticipates the "requisite" tonality of theme group two (see figure I-24).

---

[12] On the way to V/C (for the opening of R6), Schubert includes subtle references to the minor tonic (R5, m. 412 ff.). Note, also, that the dominant region in R6 is prolonged by a neighboring 6/4 (mm. 428-9 and mm. 434-5), but it is the minor, rather than the Major, 6/4, further anticipating the tonality at the beginning of T.G. two.

Figure I-24: An Aural Association Between T.G. 1 and T.G. 2 (Recap.)

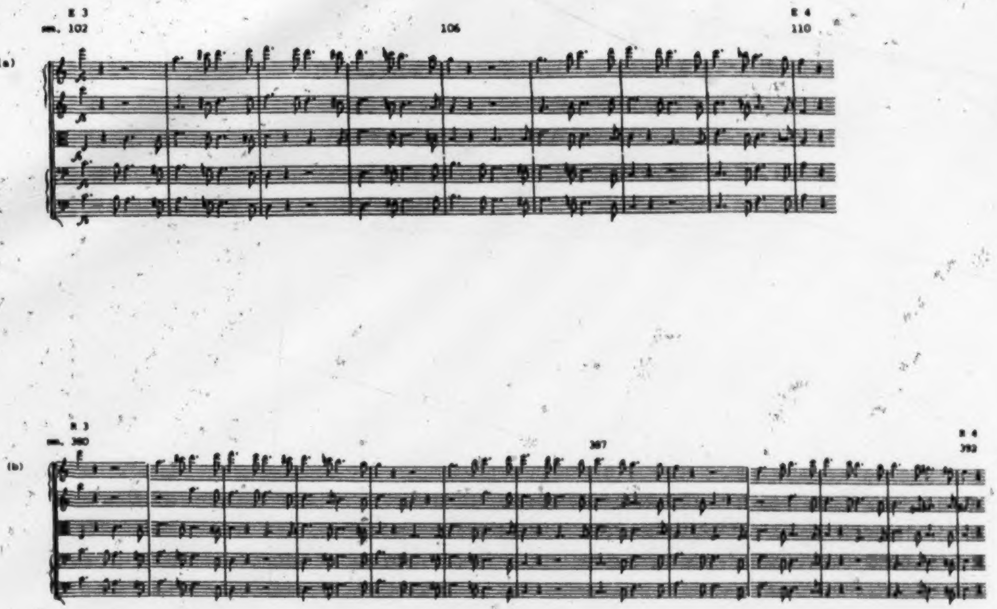

Recapitulation
measure: 356 392 424 440 460 492 546 570
T.G. 1
T.G. 2
Coda
I III♯ V i vi I V I
direct voice-leading connection
equals
(V/vi)
aural association

A sophisticated plan has therefore been worked out. On the surface Schubert has satisfied the traditional view by providing what is most expected in a sonata-form movement, namely, tonic harmony at the opening of theme group two in the recapitulation. Yet the E Major/A minor dominant-to-tonic association depicted in figure I-24 is proof that the most intriguing issues in a composition are often found in higher-level relationships.

It is fascinating that the noticeable structural differences between theme group one in the exposition and theme group one in the recapitulation are initiated by the smallest of surface-level alterations. We recall that the first two segments in the exposition (E1 and E2) and the first two segments in the recapitulation (R1 and R2) are identical; this identity continues for the opening seven measures of E3 and R3 (mm. 102-108 and mm. 380-386 respectively). The eighth-note B flat in measure 109, however, is answered by B natural in measure 387, and as a result, E3 and R3 end differently. The B flat in measure 109 is found at the conclusion of a two-leg melodic sequence; it functions as the seventh of an applied dominant chord preparing for F Major, which arrives with the beginning of E4 in measure 110 (refer to the Violin I line in figure I-25(a)). The B natural in measure 387 is a passing tone in the second leg of a three-leg melodic sequence that ultimately leads to the tonicization of E Major for the opening of R4 in measure 392 (refer to the Violin I line in figure I-25(b)).

In figure I-25(a) we also note that the tonicization of F Major in measure 110 interrupts the melodic gesture in the low strings. That no such interruption occurs in R3 is significant, for having first completed the melody begun in measure 387, the bass voice is then free to assume a purely harmonic role in the tonicization of E Major.

Figure I-25: E3 and R3



Partly because of the disrupted events in E3, segment E4 is heard as a parenthetical excursion in the subdominant, a component of the tonic prolongation that encompasses the entire first theme group of the exposition.[13] Thus, R4, as a third-divider between the tonic and the dominant tonal regions in the recapitulation's first theme group, exists on a higher structural level than E4. Its relative significance in the background results from the fact that R3 is complete in both a harmonic and a melodic sense.

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[13] See page 10 above.

Chapter II

A Study of Theme Group 2 in the Exposition

The establishment and prolongation of V is a serious formal issue in the majority of musical compositions from the common-practice era. In any tonal form--regardless of the nature of the melodic material in the dominant tonal region, or its significance--the prolongation of V creates a higher-level harmonic conflict, which must be resolved before the composition can conclude.

Tonic/dominant polarization is a fundamental premise of sonata form. In major-mode sonata-form compositions, the tonal conflict is usually presented early in the piece, for in the majority of these works the second theme group in the exposition concludes with a foreground authentic cadence in the dominant. In such a piece resolution of the tonal conflict is not found until the recapitulation.

To some composers in the early part of the eighteenth century, the tonal opposition between I and V was a formal issue which to them may even have been independent of melodic concerns, as the many so-called "monothematic" sonata-form movements indicate.[1] But even in a "harmonically-oriented" conception of sonata form, melodic variety, or variation, must exist. In *Sonata Forms*, Charles Rosen makes the point that in the absence of thematic differentiation, formal regions must be articulated by other means, providing "each appearance of a theme with a different significance."[2]

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[1] For an example of a monothematic sonata-form movement, see the final movement of Haydn's Piano Sonata in F Major, Hoboken XVI: 47.

With the maturation of the Classical style, tonic/dominant polarization continued to be axiomatic. As Rosen states, "There is no question that every sonata-exposition goes from the tonic to the dominant (or to a substitute [i.e. a non-tonic key] for the dominant)."[3] But, at least from a twentieth-century perspective, the evolution of the form seems to have hinged upon the need for melodic contrast between the initial and ensuing theme groups; that is to say, melodic contrast was a more salient formal issue than harmonic focus alone. It may be for this reason that although the thematic dimensions of sonata-form movements were continually expanded from early to late Haydn, through Beethoven, and into the Romantic period, the background harmonic plan remained unchanged.[4]

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[2] Charles Rosen, *Sonata Forms*, (New York: W. W. Norton and Company, Inc., 1980), 229.

[3] Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven*, (New York: W. W. Norton and Company, Inc., 1972), 33.

[4] One could always argue that the Classical era simply spawned two kinds of sonata forms, with Haydn and Mozart as their principal representatives. In the Haydnesque model, because of its relatedness to small binary form, one senses that the melodic fabric is closely governed by the large-scale harmonic design. In Mozart, the harmonic structure remains significant, yet its ultimate authority is confined to the background, and the chief formal device seems to be thematic contrast.

The various melodic divisions within theme group two of the exposition from the first movement of Schubert's Ninth Symphony are delineated in figure II-1. These divisions are successively labelled 2E1 through 2E13.

Figure II-1: Schematic Overview T.G. 2, Expos.

EXPOSITION

T.G. 2

measure:	134	142	150	162	168	174	182	190	200	208	216	228	245
Segment:	2E1	2E2	2E3	2E4	2E5	2E6	2E7	2E8	2E9	2E10	2E11	2E12	2E13
length: (in measures)	8	8	12	6	6	8	8	10	8	8	12	17	9

The first portion of theme group two begins in E minor.[5] While differing from any previous material in the exposition, the nature of the melody in 2E1 is not entirely new to the movement. Its characteristic motive is a stepwise motion through an ascending third. This same motive is prominent in the horn call from the opening measures of the symphony's introduction (see figure II-2), and, as we shall see, it is of seminal importance to the melodic constitution of the entire second theme group.

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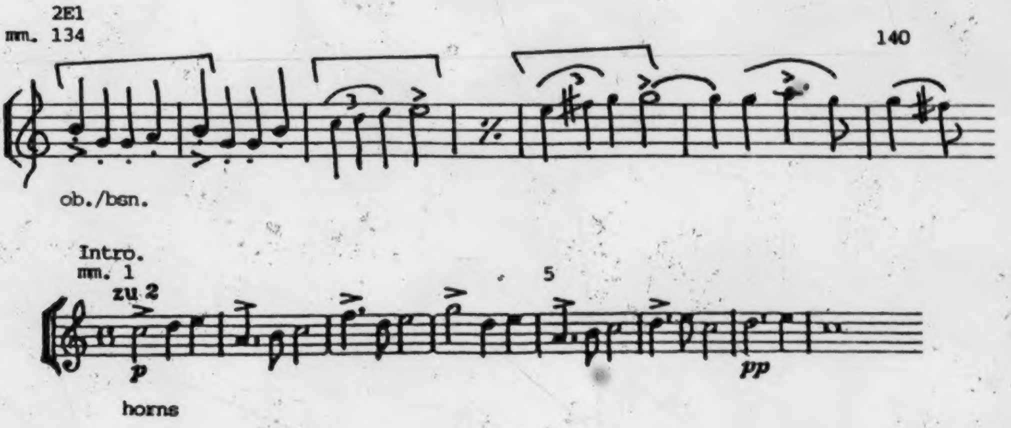
[5] The modulation to E minor for the opening of theme group two in the exposition is scrutinized in Chapter One (p. 18 above).

Figure II-2: A Comparison of 2E1 and the Symphony's Opening Motto



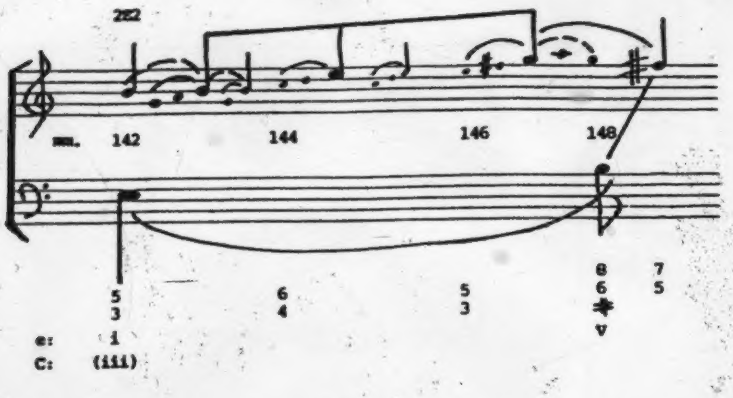
2E2 (mm. 142-149) is a near-repetition of the preceding eight measures, differing from 2E1 only in register and timbre: the melody is transferred from the oboe/bassoon pairing in 2E1, up an octave for presentation by the flute and clarinet, the other two members of the woodwind choir. In part, the function of this transferral is to restore the principal melody to its obligatory register.[6] Figure II-3 presents a reduction of 2E2.

Although 2E3 begins as a third statement of 2E1, Schubert uses only the first two measures of the earlier segment. They serve as the point of departure for a sequential passage that initiates the harmonic motion to G, the tonal goal of the second theme group, and the background

---

[6] The obligatory register of a composition is defined as the register that contains the head-tone; since e^6 is this movement's head-tone (see Chapter One, p. 5 ff.), the two-line octave (c^6 - b^6) represents the obligatory register of the piece. For further comments on obligatory register, see Forte and Gilbert, *op. cit.*, p. 169 and p. 202.

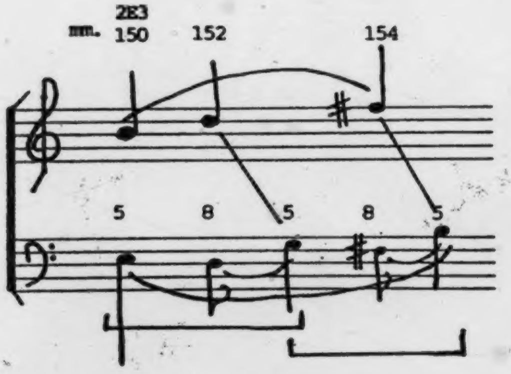
Figure II-3: mm. 142-148, in Reduction


2E2
mm. 142
144
146
148
5 3
6 4
5 3
8 6 ♯
7 5
e: i
C: (iii)
V

dominant of the entire movement.[7] This modulating sequence--consisting of three two-measure legs--continues to exploit the oboe/bassoon, flute/clarinet pairings. Schubert therefore unifies sections 2E1 through 2E3 by means of orchestration.

Another, and not so immediately obvious, aspect of unity derives from the bass progression in the sequence. Figure II-4 summarizes measures 150-155.

Figure II-4: mm. 150-154, in Reduction

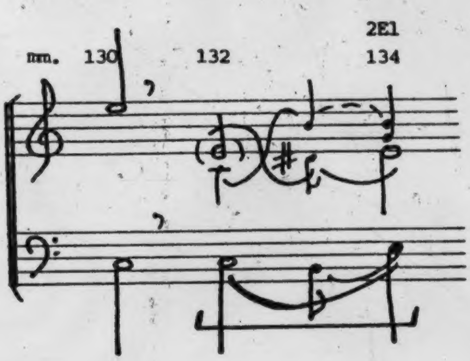

2E3
mm. 150
152
154
5
8
5
8
5

---

[7] As a key area, G Major is first articulated at the beginning of 2E6, in m. 174.

In a motivic sense, the source of this bass progression is the link between the conclusion of theme group one and the inception of theme group two in the exposition, measures 130 through 134 (compare the lower voices in figures II-4 and II-5).

Figure II-5: The Link into T.G. 2, Expos.



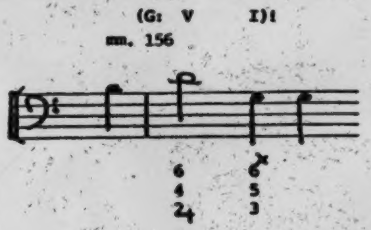
The sequence begun in measure 150 terminates in measure 156 with the arrival of an ambiguous sonority.[8] In one sense, this chord sounds like the dominant of C Major (in 4/3 position), and as such it serves as a back-reference to the home key of the movement. In a local context, however, the chord functions as the German sixth of B minor rendered in an unorthodox inversion, for D, rather than G, is its bass note.[9] The 'cellos and basses in measure 156 proceed by consonant skip from D down a perfect fifth to G, thereby restoring the German sixth chord to its usual position. More important, however, the leap of a descending fifth in the bass-voice instruments foreshadows the most structurally significant dominant-to-tonic relationship in theme group two of the exposition: V to I in G Major (see figure II-6).

---

[8] The chord in m. 156 is ambiguous in that only context can clarify its function.

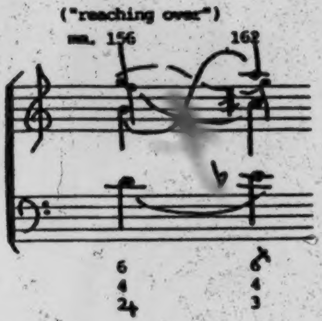
[9] It would be wrong to interpret g^2, presented by the timpani in m. 156 as the structural bass note of the chord. This pitch functions merely as a point of articulation, and its register is attributable to the limited means of the instrument.

Figure II-6: The Bass Line, m. 156



The reference to G Major is hardly accidental, but in a higher-level reduction, D is the prolonged bass pitch in measures 156 to 161. This prolongation allows for a stepwise bass connection between the German sixth of B at the end of 2E3, and the French sixth chord that marks the beginning of 2E4 in measure 162 (see figure II-7).[10]

Figure II-7: Stepwise Voice-Leading, mm. 156-162



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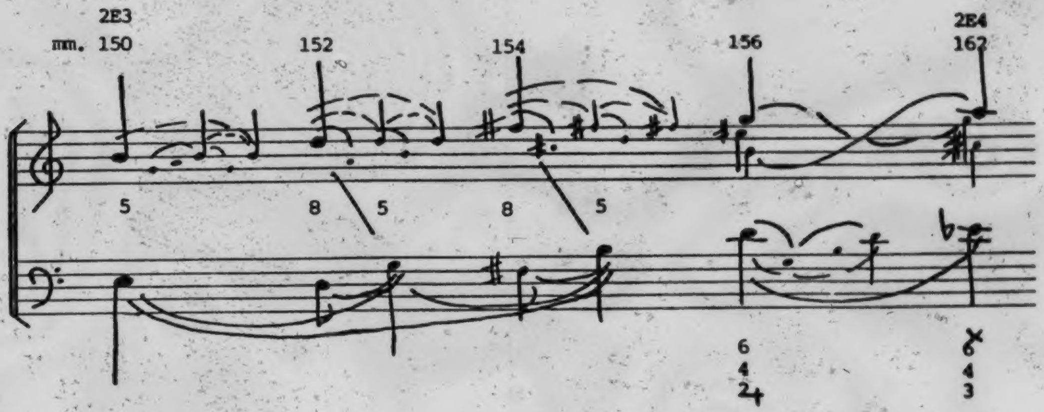
[10] In both the Breitkopf & Härtel Critical Edition (1884-1897) and the Universal Edition (W. Ph. V. 92) of this movement, the "chromatic" pitch in the German sixth chord, E sharp, is enharmonically notated as F natural. In certain reductions throughout this chapter, E sharp is favored over the notationally-convenient F natural.

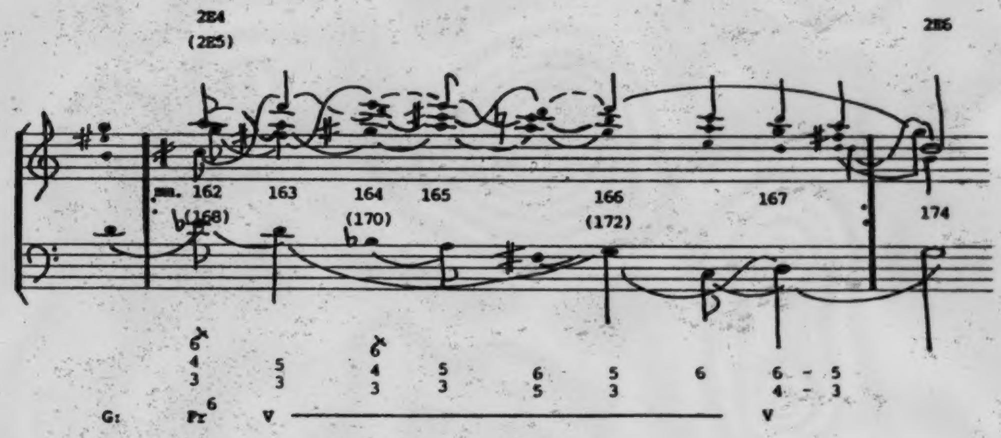
Figure II-8 presents a summary of 2E3, measures 150 to 161.

Figure II-8: mm. 150-161, in Reduction


2E3
mm. 150
152
154
156
2E4
162
5
8
5
8
5
6 4 2
6 4 3

2E4 and its subtly altered repetition, 2E5, effect the eventual establishment of G Major. A reduction of this twice-heard six-measure phrase is found in figure II-9.[11]

Figure II-9: The Motion Towards V in T.G. 2 (Expos.)


2E4
(2E5)
2E6
mm. 162
(168)
163
164
(170)
165
166
(172)
167
174
6 4 3
5 3
6 4 3
5 3
6 5
5 3
6
6 - 5
4 - 3
G: Fr6
V
V

---

[11] The alterations in the repetition of 2E4 in 2E5 are foreground events. The graph in figure II-9 is a middleground interpretation of mm. 162-174, and, at this level of reduction, 2E4 and 2E5 are identical.

With the prior knowledge that the movement's dominant tonal region is reached at the outset of 2E6 (m. 174),[12] it can be deduced that the issue in 2E4 and its varied repetition, 2E5, is to be the motion towards, and the establishment of, V of G Major--yet Schubert accomplishes this task in an original manner. The summary of 2E3 demonstrated that D there acts as the prolonged bass note of an inverted German sixth chord (refer to figure II-8). This bass note becomes the root of the dominant of G in 2E4 and 2E5. The French sixth chord at the beginning of 2E4 is thus a neighbor of V of G, to which it resolves in measure 163. In fact, all 12 measures preceding 2E6 prolong D as V of G Major (refer to figure II-9).

This last point raises an obvious question: if the dominant of G is established as early as the second measure of 2E4, why does Schubert repeat 2E4 in 2E5? A desire for dominant emphasis might provide a partial justification, but formal balance, too, must be taken into account. We recall that the near-repetition of 2E1 in 2E2 has several functions, including re-establishing the obligatory register while exploiting the timbral opposition of the woodwind choir. But more significant is the fact that this repetition asserts the middleground tonic function of E minor. Indeed, the first three segments of theme group two are all either in E, or prolong that key. Note, also, how the sequential passage in 2E3--moving through the local tonalities of E minor, G Major, and B minor--unfolds a bass arpeggiation of the E minor triad (see figure II-10).

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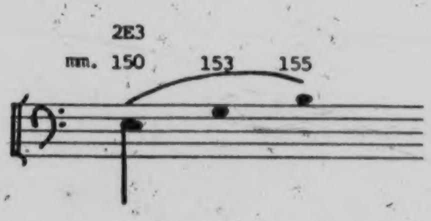
[12] See Chapter One, p. 21.

Figure II-10: A Linearization of the E Minor Triad



The varied repetition of 2E4 in 2E5, then, does much more than merely intensify the dominant of G Major; it serves as a formal counter-balance to the weight of the mediant tonal region (the divider)[13] in the first three segments of theme group two.

With the tonicization of G in measure 174 (2E6), the structural dominant itself is finally reached. The thematic material in 2E6 is derived from the opening of theme group two, and, by extension, motivically resembles the introduction to the symphony. In fact, 2E6 and 2E7 together bear a likeness to the first three segments of theme group two (2E1 through 2E3). Aside from the alteration in key (from E minor to its relative major), the only significant difference between 2E1 and 2E6 is that the latter segment is not repeated. While the repetition of 2E1 in 2E2 was helpful in establishing E as the local tonic, it is not necessary for 2E6 to be heard twice; instead, by stressing the dominant of G with the repetition of 2E4 in 2E5,

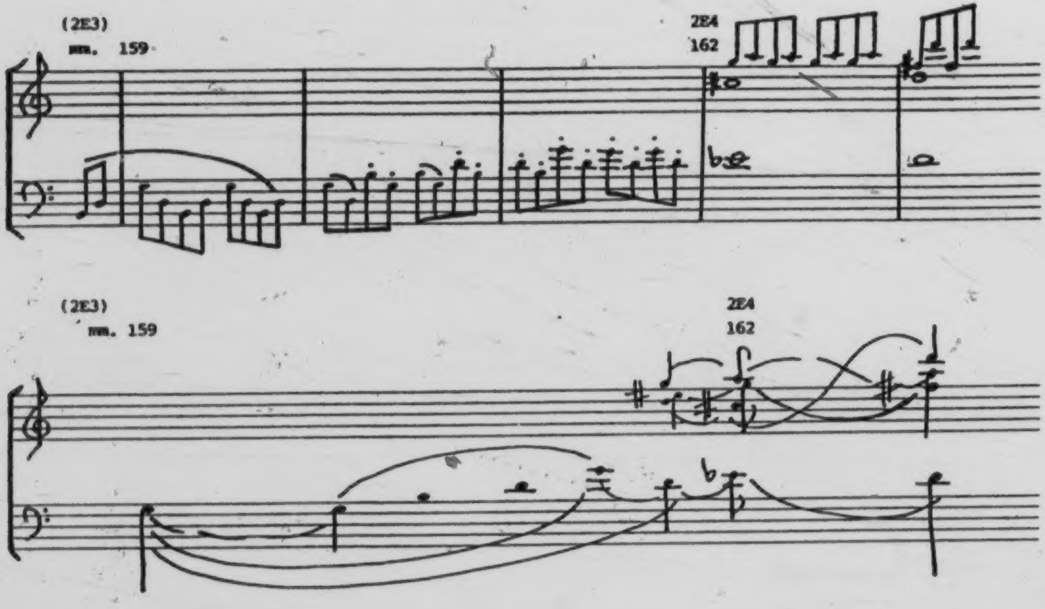
---

[13] E minor as the third-divider between the tonic and dominant in the exposition of this movement was discussed in Chapter One, p. 21.

Schubert has already drawn our aural attention away from E and focussed it on G Major.

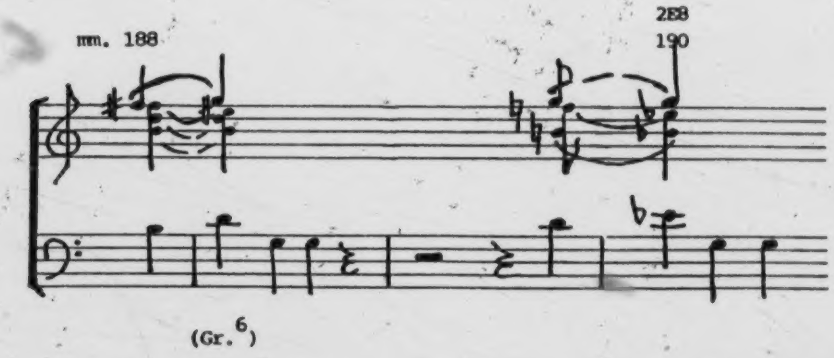
2E7 is eight measures long, and is therefore four measures shorter than 2E3, its corresponding segment. The sequence in 2E3 begins with a two-measure leg in E minor; for obvious reasons, this material is not contained in 2E7. Also "missing" from 2E7 are the final two measures of 2E3, which in the earlier segment serve to re-establish D as the bass note of the inverted German sixth chord in preparation for segment 2E4 in measure 162 (see figure II-11).

Figure II-11: 2E3-2E4



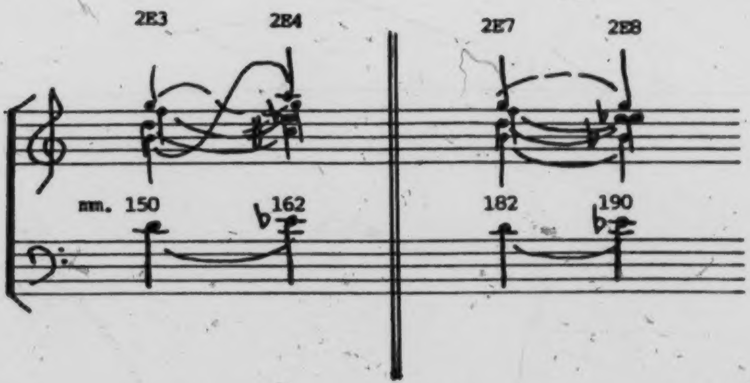
2E7, however, does not lead to a similar continuation. In beginning 2E8, Schubert invokes a technique of voice-leading predicated upon the principles of common-tone retention and stepwise resolution. The inverted German sixth of B in measure 189 is thus non-functional, for it proceeds directly to an E-flat Major chord in measure 190 (see figure II-12).

Figure II-12: mm. 188-190, in Reduction



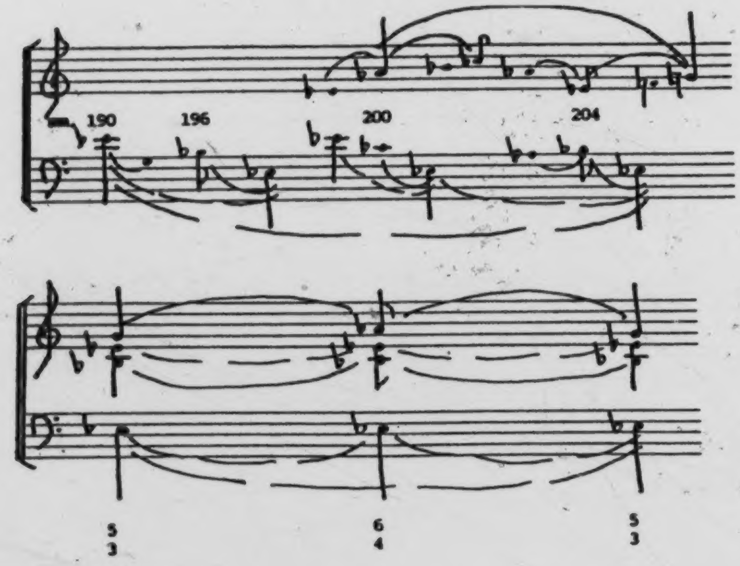
It is, however, important to recognize that the motion into the E-flat Major chord for the opening of 2E8 is "prepared for" by the events of 2E3 - 2E4, namely, by the progression of the German sixth of B to the French sixth of G in measures 161-162 (see figure II-13).

Figure II-13: A Subtle Foreshadowing, Preparing for 2E8



2E8 may be regarded as being in the key of E-flat Major, but the true foreground sense of the tonality in this segment is established only retrospectively--with the beginning of 2E9; the trombone melody in measures 200 and following (2E9) is clearly in the key of A-flat minor, and in a harmonic sense declares 2E8 as its dominant. Yet, by sustaining the E-flat bass pedal throughout 2E9 (and even into 2E10), Schubert exploits the A-flat minor tonic harmony in order to prolong its own dominant.[14] Segments 2E8 and 2E9 are therefore patterned upon a neighboring 6/4 voice-leading technique (see figure II-14).[15]

Figure II-14: The Neighboring 6/4 in mm. 190-205



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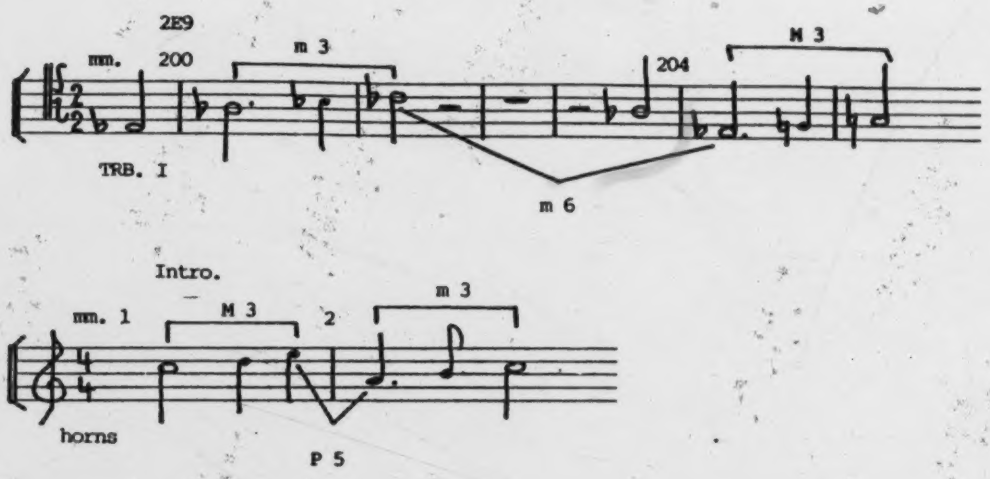
[14] Based on this observation, one is led to believe that E flat functions on a deeper structural level than A-flat minor. We will learn that indeed this is the case.

[15] As a motivic entity, the neighboring 6/4 becomes increasingly significant as the movement unfolds. Its use in the development section is discussed in Chapter Three (see p. 56 ff.).

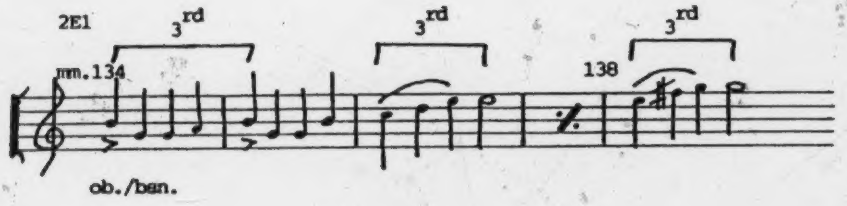
The trombone melody introduced in measure 200 is at once both new and familiar. The sense of newness is attributable to the *pianissimo* rendering, and the slow, deliberate, pace at which the line unfolds. A static harmonic rhythm further contributes to its distinctive character. But if we fail to recognize motivic associations between 2E9 and thematic material from earlier points in the movement, we miss a most compelling aspect of large-scale unity. Figure II-15 compares this trombone melody with the horn call from the opening of the symphony.

Figure II-15: A Comparison of 2E9 and the Symphony's Opening Motto



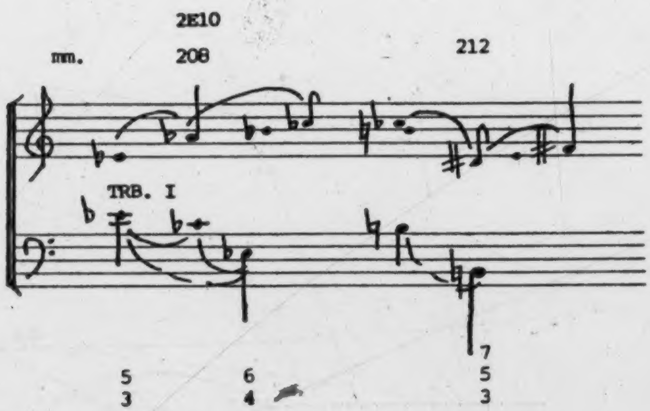
2E9 is very nearly a "tonal answer," in augmentation, to the symphony's opening horn gesture. The succession of ascending major and minor thirds is reversed in the two statements, and the descending perfect fifth between E and A in measures 1 and 2 is expanded, becoming a minor sixth (C flat to E flat) in measures 201 through 204; otherwise the contours are congruent. The prominence of the ascending motivic thirds in measures 200 and following additionally associates 2E9 with 2E1, the initial segment of theme group two (see figure II-16).

Figure II-16: The Ascending Third in 2E1



The first four measures of 2E10 duplicate the beginning of 2E9, but with the anacrusis to measure 212, Schubert alters the melody and presents a B Major-minor seventh chord that may be interpreted in three different ways: V^7/F flat; German^6/E flat; and V^7/E (see figure II-17).

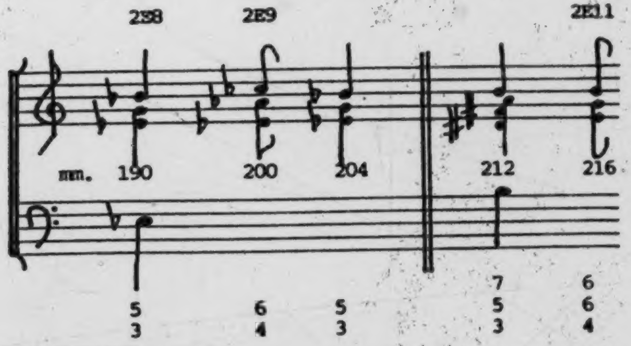
Figure II-17: The Major-minor Seventh of m. 212



The argument supporting the first of these interpretations is based solely on the fact that F flat is the submediant of

A-flat minor, the local tonality in 2E9. The second interpretation--namely, that we hear measure 212 as a German sixth chord of E flat--is rather more convincing. We have alluded to the fact that since E flat is prolonged throughout 2E8 and into 2E9, it is more significant in the middleground than is A flat,[16] and hearing measures 212 through 215 as the German sixth in E flat further emphasizes that key. This interpretation, however, is incorrect, since the chord does not in fact resolve as a German sixth. Ultimately, measures 212 through 215 represent the dominant chord of E minor, as the opening four measures of 2E11 (mm. 216-219) confirm. Here, the B Major-minor sonority from 2E10 is prolonged by a neighboring 6/4 voice-leading technique, which, of course, is similar to the manner in which E flat was prolonged in 2E9 (see Figure II-18).[17]

Figure II-18: The Neighboring 6/4 as a Motivic Event in 2E9 and 2E11



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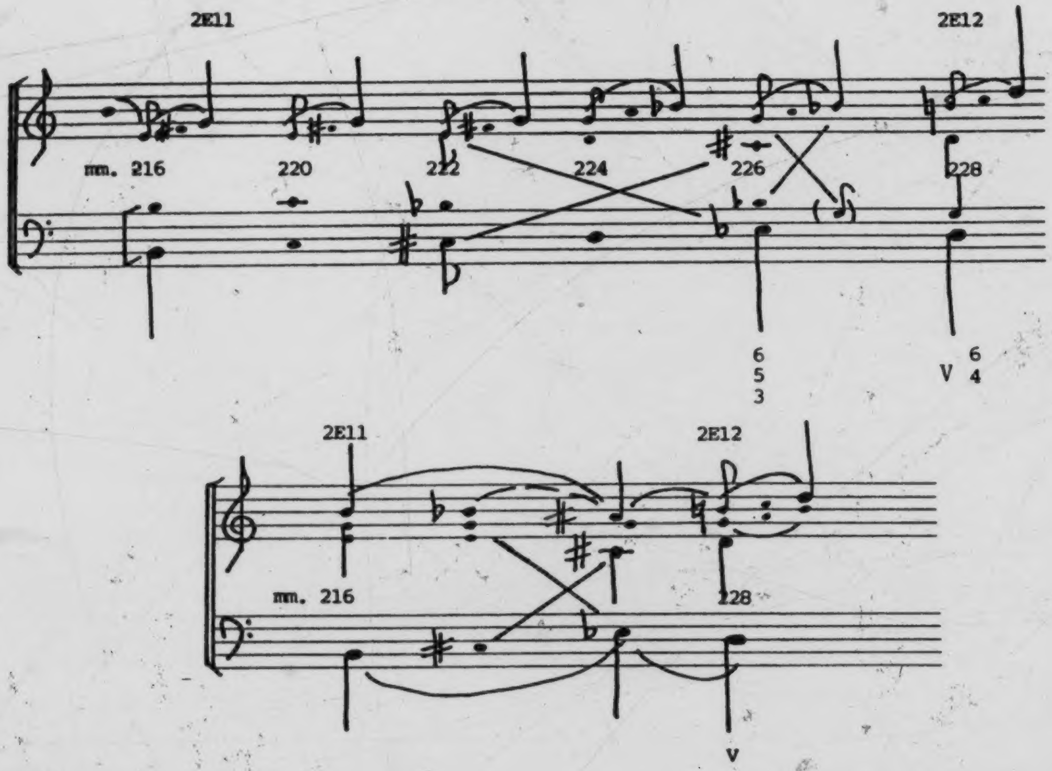
[16] Refer to footnote 14 (p. 39).

[17] Since the seventh chord in mm. 212-215 functions as the dominant of E minor, it supplies a subtle back-reference to the mediant tonality found at the outset of theme group two.

An understanding of 2E11 (mm. 216-227) is crucial if we hope to come to terms with the background in the second theme group of the exposition. A chromatic bass ascent that begins in measure 216 on B, leads through C (mm. 220-221), C sharp (mm. 222-223), D (mm. 224-225), and finally to E flat for the concluding two measures of 2E11 (see figure II-19).

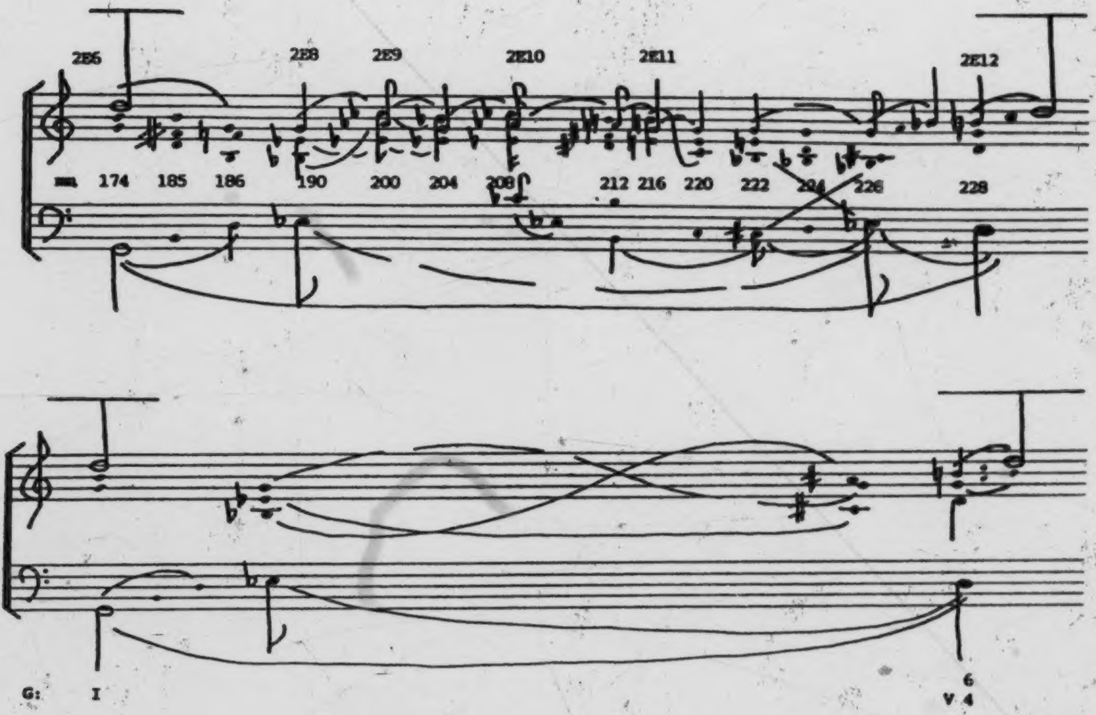
Figure II-19: 2E11 to 2E12, in Reduction



The reductions in figure II-19 demonstrate that the E flat in the bass of measures 226-227 supports the German sixth chord of G Major, which in turn yields to the dominant 6/4 in measure 228 for the beginning of 2E12.

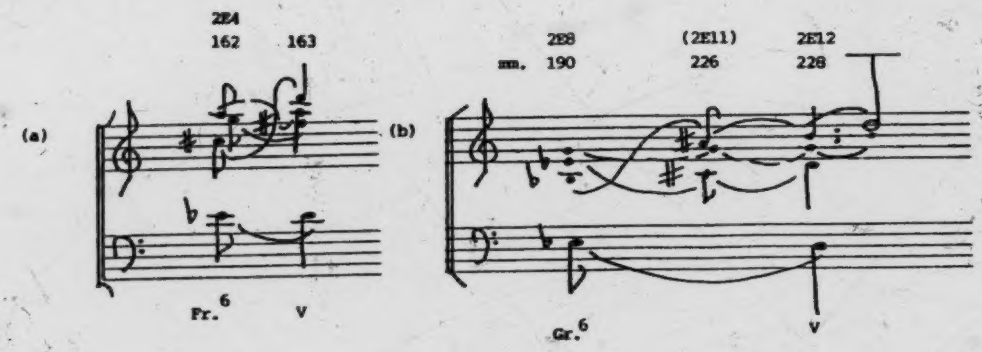
The re-establishment of G Major as a foreground event (articulated by the dominant arrival in m. 228) is significant, for with the tonal stability imposed by its return we sense that the exposition is drawing to a close. It is now possible to contemplate the deep-middleground structure of theme group two: from the first appearance of G Major in measures 174, to its re-emergence in measure 228 and following (see figure II-20).

Figure II-20: 2E6 to 2E12, in Reduction


2E6
2E8
2E9
2E10
2E11
2E12
mm. 174 185 186 190 200 204 208 212 216 220 222 224 226 228
G: I
V 6 4

Segments 2E8 through 2E11 (mm. 190-227) prolong an augmented sixth chord that functions as a middleground neighbor of the dominant of G. It will be remembered that the French sixth chord at the beginning of segment 2E4 likewise prolonged V of G. Thus, in 2E8 through 2E11, Schubert presents a macrocosmic prolongation of a foreground event first observed in measures 162-163 (compare figure II-21(a) with figure II-21(b)).

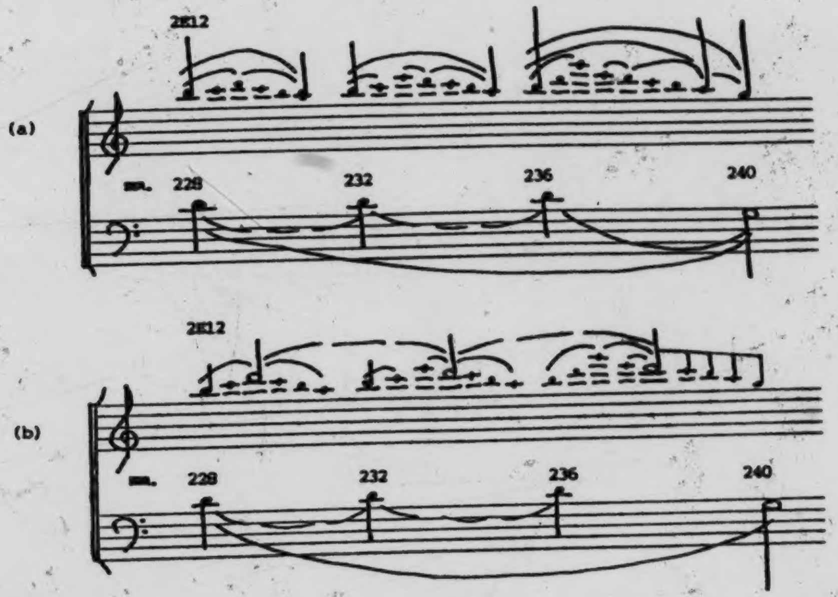
Figure II-21: The Prolongation of V in T.G. 2 (Expos.)



This interpolation, the expansion of a functional augmented sixth chord, heightens the dramatic impact of the foreground dominant sonority when it returns in 2E12 (m. 228), and thus intensifies the prominence of G as the structural background dominant when it is re-articulated in measure 240.

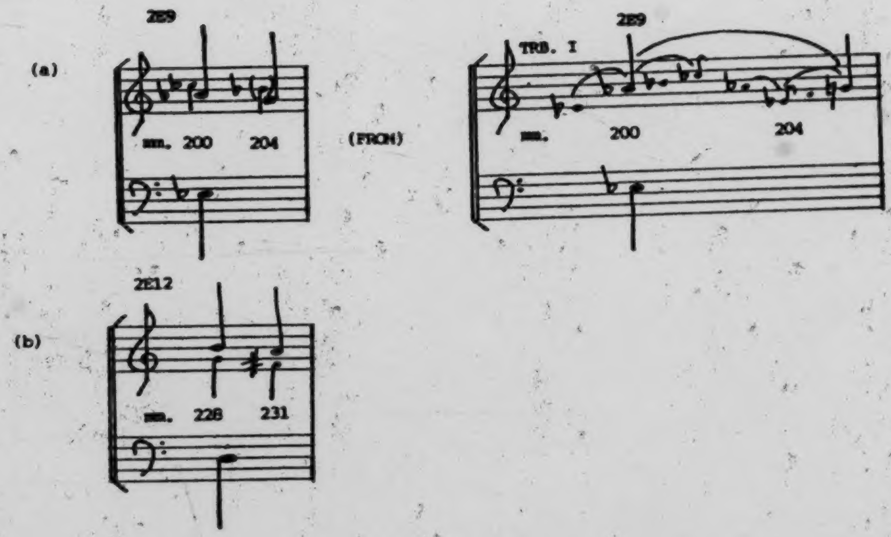
The melodic material in 2E12 (mm. 228-240) evolves from the omnipresent motivic fragment, the ascending third. Two voice-leading interpretations of 2E12 are presented in figure II-22. Figure II-22(a) proposes that this segment unfolds a melodic third-descent from the mediant to the tonic in G Major. Figure II-22(b) suggests that these same measures express a melodic fifth-progression from D to G.

Figure II-22: Two Interpretations of 2E12


2E12
(a)
mm. 228
232
236
240
2E12
(b)
mm. 228
232
236
240

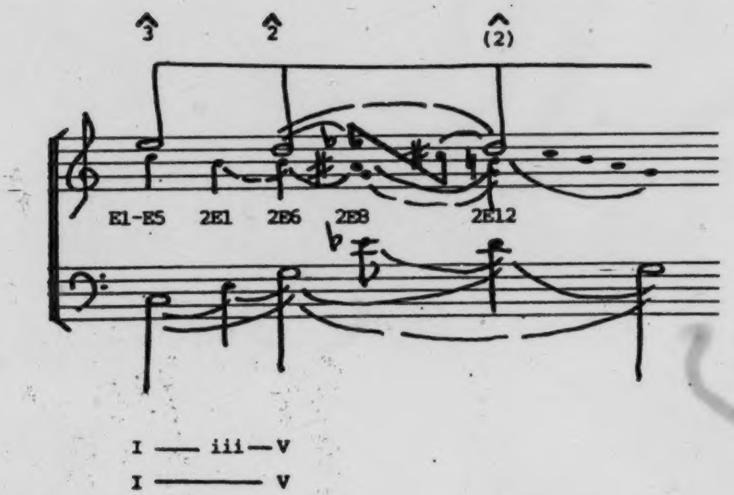
Both interpretations have merit. In order to appreciate the beauty of figure II-22(a), it must be compared with figure II-23, a reduction of the trombone melody from 2E9.

Figure II-23: A Comparison of 2E9 and 2E12


2E9
(a)
mm. 200
204
(FROM)
2E9
TRB. I
mm.
200
204
2E12
(b)
mm. 228
231

If we accept figure II-22(a), we understand that whereas the structural line was covered in 2E9, it is in an outer voice in 2E12. But an alignment of figure II-22(b) with the background analysis of the entire exposition (see figure II-24) reveals that D serves as the structural $\hat{2}$ when it is re-established as the upper-voice pitch in 2E12. The stepwise descent from D to G in measures 238 through 240 merely represents motion to an inner voice.

Figure II-24: The Background Analysis of the Entire Exposition



In a Schenkerian sense, figure II-22(b) is ultimately the correct interpretation, for it combines a logical melodic unfolding with proper harmonic support. The significance accorded the pitch B in figure II-22(a) contradicts the prevailing harmony and the deeper-level meaning of D as $\hat{2}$.

The exposition concludes with segment 2E13--a cadential extension that merely reinforces the local, or foreground, function of G as tonic. In terms of background structure, we have reached a crucial juncture in the movement, for the tonicization of G intensifies the harmonic conflict with C Major. The resolution of this conflict, which can be effected only by the re-establishment of C as the foreground tonic, is the principal remaining issue.

CHAPTER III

A Study of the Development

For the music theorist, raw statistical data is of limited value: to state that the development section from the first movement of Schubert's Ninth Symphony represents less than 15% of the movement's length, for example, is relatively insignificant; nonetheless, when we examine the proportion of the symphonic sonata-form first movement allotted to the development section by various composers, relevant observations may be made. The chart in figure III-1 (see p. 50), though necessarily selective, facilitates such a comparison. The Beethoven and the Mozart examples contrast in an interesting way. The development section in each of Beethoven's symphonic first movements accounts for more than 16% of that movement's total length, yet that is true of none of the development sections from the six late Mozart compositions.

Brahms, like Beethoven, preferred the "longer" development in all four of his symphonies; the usual practice for Schubert, however, can be likened to the Mozartean model, since the development section in six of his eight symphonic first movements accounts for less than 16% of that movement's total length.[1]

---

[1] It is perhaps fitting--considering Haydn's stature as a pioneer of the genre--that as a group the six later Haydn symphonic sonata-form first movements included in figure III-1 are not conclusively Beethovenean or Mozartean in respect to the proportion of the movement allotted the development section.

Figure III-1: Proportion Allotted the Devt. in Various Symphonic First Movements

Haydn (1732-1809)	Mozart (1756-1791)	Beethoven (1770-1827)	Schubert (1797-1828)	Brahms (1833-1897)
1. >25%	1. >25%	1. >25% #3 (29.0)[35.5] #6 (26.5)[33.6]	1. >25%	1. >25%
2. 21% - 25% "Drumroll" (22.9)[28.4] "Clock" (21.4)[27.7]	2. 21% - 25%	2. 21% - 25% #9 (24.9)[N.R.] #4 (23.3)[29.9]	2. 21% - 25% #8 (22.2)[28.8]	2. 21% - 25% #1 (23.3)[30.1] #4 (23.2)[N.R.]
3. 16% - 20.9% "Military" (19.7)[26.6] "London" (17.2)[23.5]	3. 16% - 20.9%	3. 16% - 20.9% #5 (19.5)[24.3] #8 (18.1)[23.1] #2 (18.0)[23.1] #7 (17.8)[25.1] #1 (17.0)[22.5]	3. 16% - 20.9% #3 (18.0)[23.9]	3. 16% - 20.9% #2 (17.3)[23.5] #3 (16.6)[21.9]
4. 10% - 15.9% "Oxford" (14.6)[18.5] "Surprise" (13.5)[18.3]	4. 10% - 15.9% "Prague" (15.9)[21.5] G min. K.550 (15.8)[21.1] "Jupiter" (15.7)[21.7] "Haffner" (11.4)[16.7] "Linz" (10.3)[13.9]	4. 10% - 15.9%	4. 10% - 15.9% #1 (15.2)[20.5] #5 (12.5)[17.4] #9 (11.8)[14.9] #6 (11.3)[14.8] #4 (10.5)[14.3]	4. 10% - 15.9%
5. <10%	5. <10% E^b Maj. K.543 (9.6)[13.3]	5. <10%	5. <10% #2 (7.6)[10.7]	5. <10%

LEGEND

( ) denotes: proportion of the movement allotted the development section when the exposition is repeated.
[ ] denotes: proportion of the movement allotted the development section when the exposition is not repeated.
[N.R.] denotes: no repetition of the exposition is indicated in the movement's score.

Figure III-2 provides an outline of the phrase design in the development section from the opening movement of Schubert's Ninth Symphony.

Figure III-2: Phrase Design in the Devt. of Sym. 9/I

	D 1			D 2			D 3			D 4	D 5			D 6	
	D 1.1	D 1.2	D 1.3	D 2.1	D 2.2	D 2.3	D 3.1	D 3.2	D 3.3	D 4	D 5.1	D 5.2	D 5.3	D 6.1	D 6.2
mm.	256	268	276	280	288	296	304	308	312	316	328	332	336	340	348

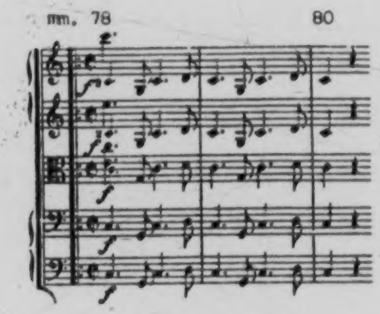
The first segment of the development, D 1, follows four measures of linking material. This link (mm. 252-255) is divisible into two two-measure fragments. The first fragment (mm. 252-253) serves to extend the G Major tonality from the conclusion of the exposition, while the second fragment (mm. 254-255) immediately introduces A-flat Major, the foreground tonality at the outset of the development proper.

In a motivic sense, measures 252-255 essentially grow out of the *tutti* string figure from measures 250-251; we must not, however, fail to recognize the transpositional identity between this motive and the melodic material from the opening of the exposition (mm. 78-79 (see figure III-3)).

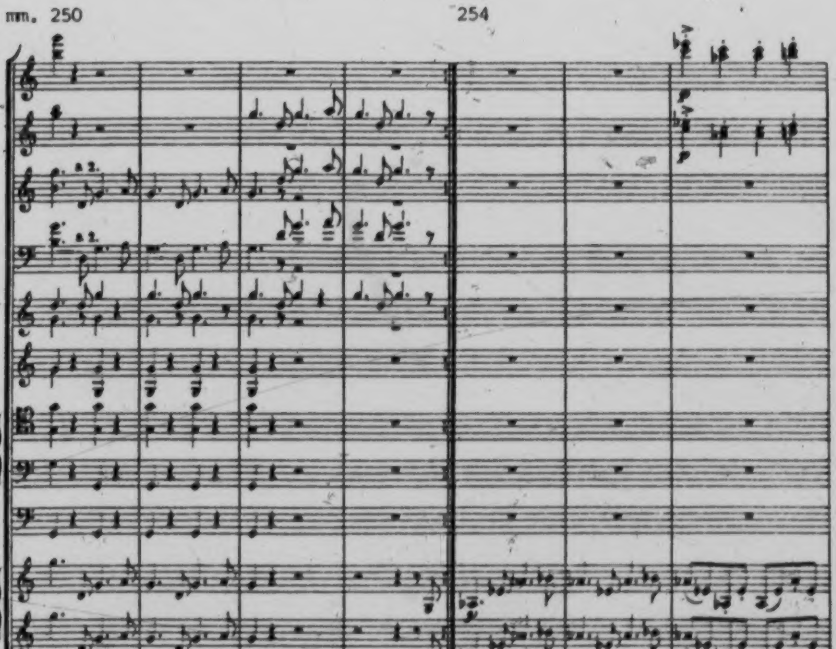
D 1 (mm. 256-279) embodies phrases of 12, 8, and 4 measures respectively (D 1.1, D 1.2, and D 1.3). The primary melodic material in D 1.1 is sounded by the woodwind choir, and derives from the second theme group of the exposition. Coinciding with the woodwind melody, the

Figure III-3: A Comparison of mm. 78-80 and mm. 250-255

(a)

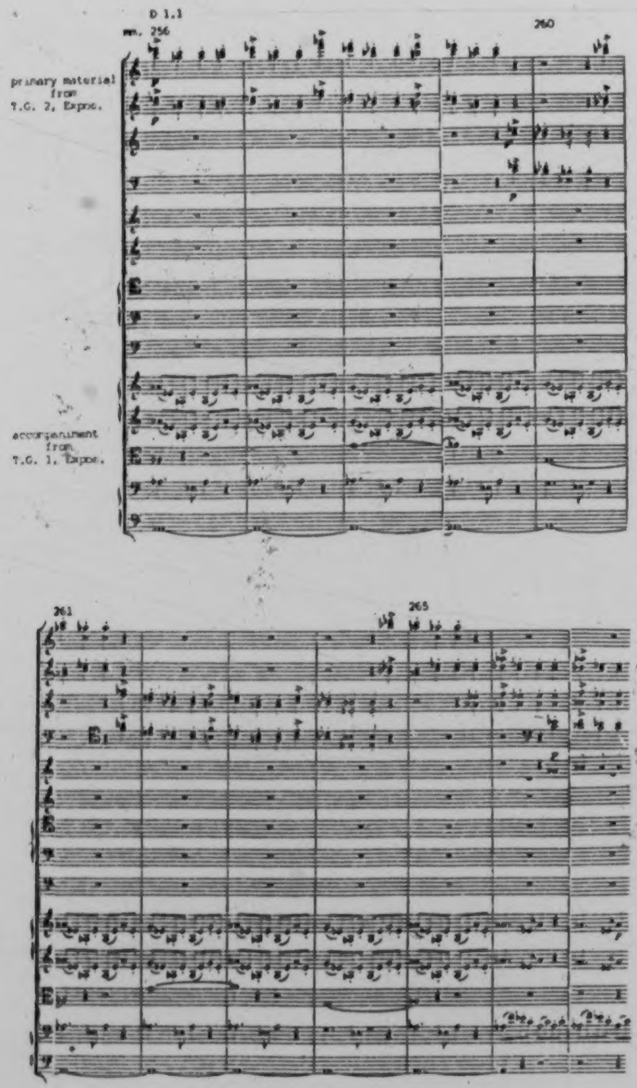


(b)



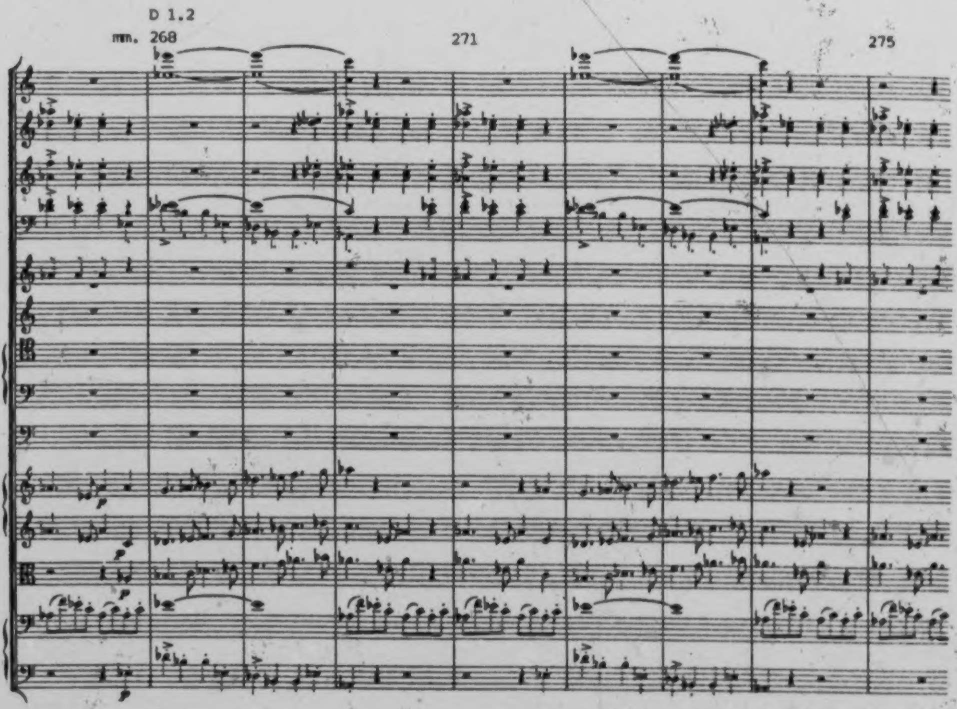
strings provide an accompaniment that is derived from the linking material heard in measures 252-255, and that, by extension, also resembles the principal melodic material from the opening of the exposition (see figure III-4). Schubert thus establishes the developmental character right at the outset of this middle portion of the movement.

Figure III-4: D1.1, mm. 256-267


D 1.1
mm. 256
260
primary material from T.C. 2, Expo.
accompaniment from T.C. 1, Expo.
261
265

In D 1.2 (mm. 268-275) the process of combining motivic elements from the first and second theme groups of the exposition continues. The violins and violas introduce additional material from theme group one--rising scalar passage-work adapted from E2 (m. 94 and ff.)--as a counter-melody to the primary material which is again drawn from theme group 2 (see figure III-5).

Figure III-5: D 1.2, mm. 268-275



D 1.3 (mm. 276-279) is transitional. Its four measures unfold a motion from A-flat Major--prolonged throughout D 1.1 and D 1.2--to an A Major chord for the opening of D 2 in measure 280. The sequence of harmonic events is as follows: D 1.2 concludes with the tonic of A-flat Major (m. 275);

measures 276-277 and 278-279 are sequentially related to measures 274-275, and, in turn, unfold F minor and D-flat Major chords; the A-Major sonority follows in measure 280 (see figure III-6).

Figure III-6: mm. 275-280, in Reduction

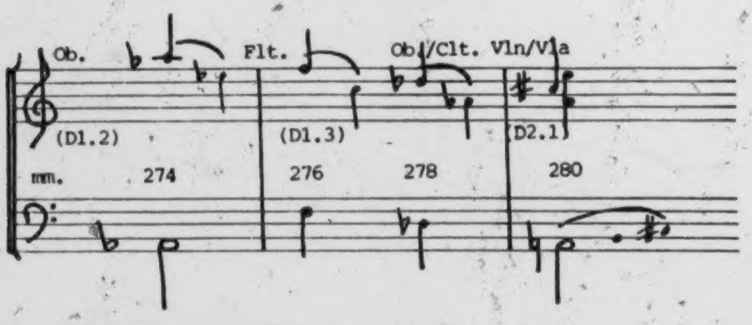
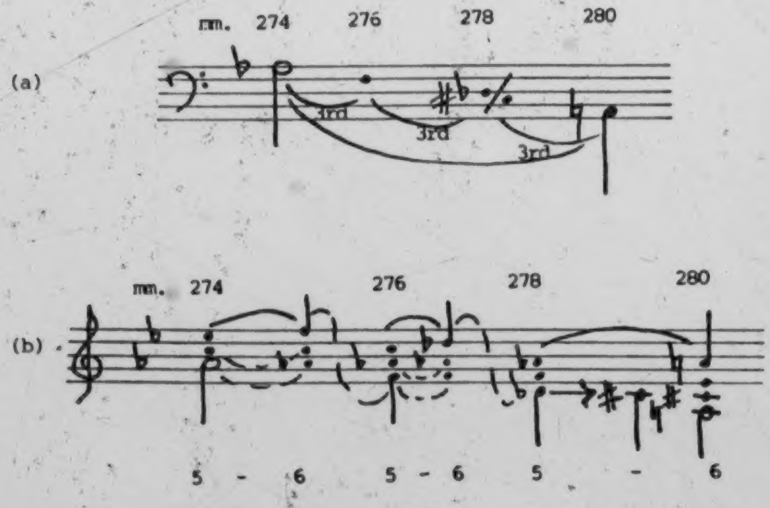

Ob.
Flt.
Ob1/Clt.
Vln/Vla
(D1.2)
(D1.3)
(D2.1)
mm.
274
276
278
280

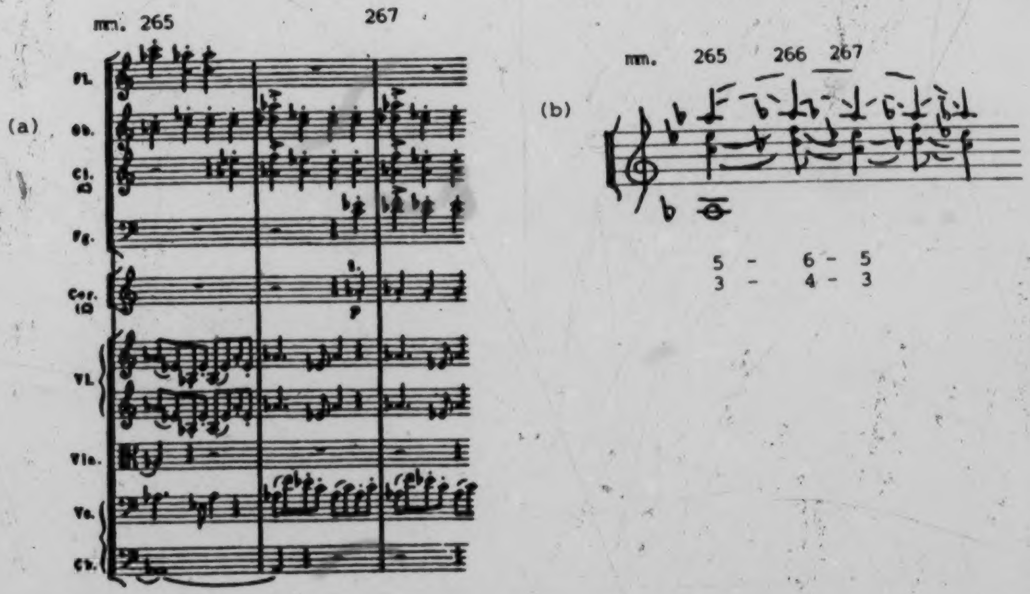
Figure III-7 provides a summary of the transitional passage. The bass-line progression of descending thirds (from A flat to A) is supported by 5 - 6 voice leading, and common-tone modulation.

Figure III-7: A Transitional Passage, mm. 274-280


mm. 274
276
278
280
(a)
3rd
3rd
3rd
mm. 274
276
278
280
(b)
5 - 6
5 - 6
5 - 6

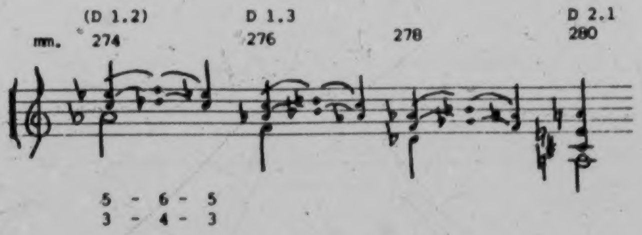
An important unifying element for the entire development section is introduced in D 1.1: the $\begin{matrix}5 - 6 - 5\\ 3 - 4 - 3\end{matrix}$ neighboring figure presented by the 'cello/oboe/clarinet combination in measure 266 (see figure III-8).

Figure III-8: mm. 265-267 and the Neighboring 6/4


mm. 265
267
(a)
Fl.
Ob.
Cl.
Fg.
Cor.
Vl.
Vla.
Vc.
Cb.
(b)
mm. 265 266 267
5 - 6 - 5
3 - 4 - 3

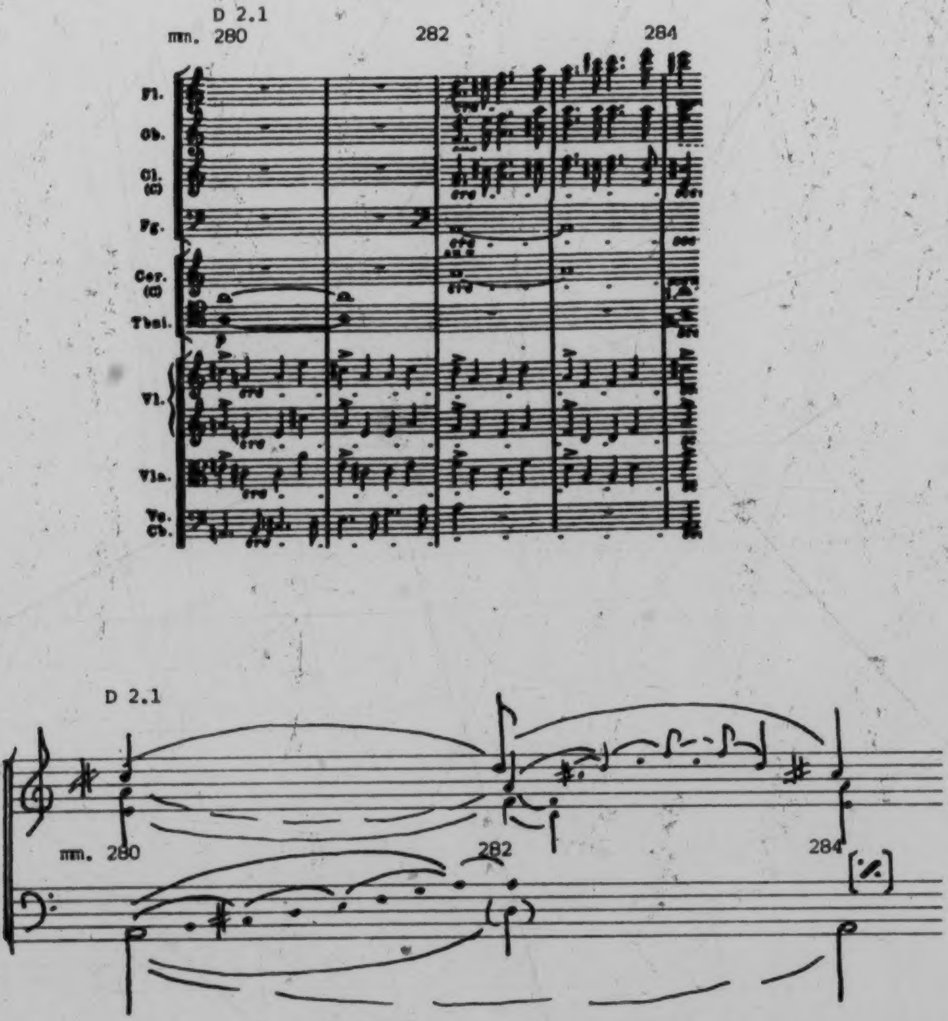
This same voice-leading device expands the local tonic at the end of D 1.2 (mm. 274-275), and in D 1.3, the neighboring motion prolongs each stage of the descent by thirds that culminates with the arrival of the A-Major chord in D 2.1 (see figure III-9).

Figure III-9: mm. 274-280 and the Neighboring 6/4


(D 1.2)
D 1.3
D 2.1
mm. 274
276
278
280
5 - 6 - 5
3 - 4 - 3

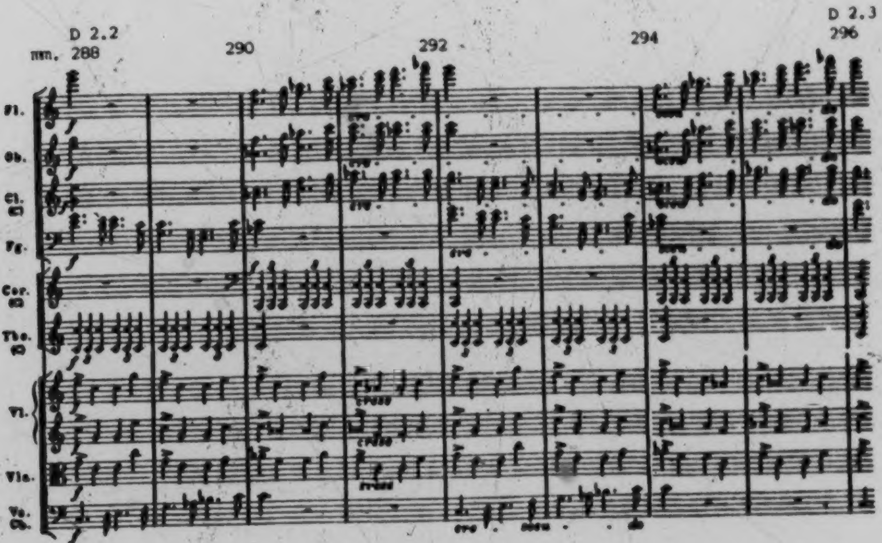
Our reference to the tonality at the outset of D 2 (m. 280) has been intentionally cryptic, for while it is true that D 2.1 prolongs an A-Major chord throughout its eight measures (mm. 280-287), that sonority actually functions as V of D minor, not as I of A Major, or Neapolitan of A-flat (see figure III-10).

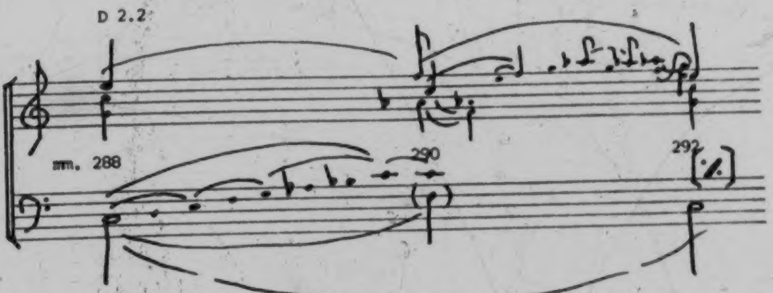
Figure III-10: mm. 280-284


D 2.1
mm. 280
282
284
Fl.
Ob.
Cl. (C)
Fg.
Cor. (C)
Tbni.
Vl.
Vla.
Vc. Cb.
D 2.1
mm. 280
282
284

D 2.2 (mm. 288-295) is sequentially related to D 2.1, and likewise expands a dominant-functioning harmony--C as V of F minor (see figure III-11).

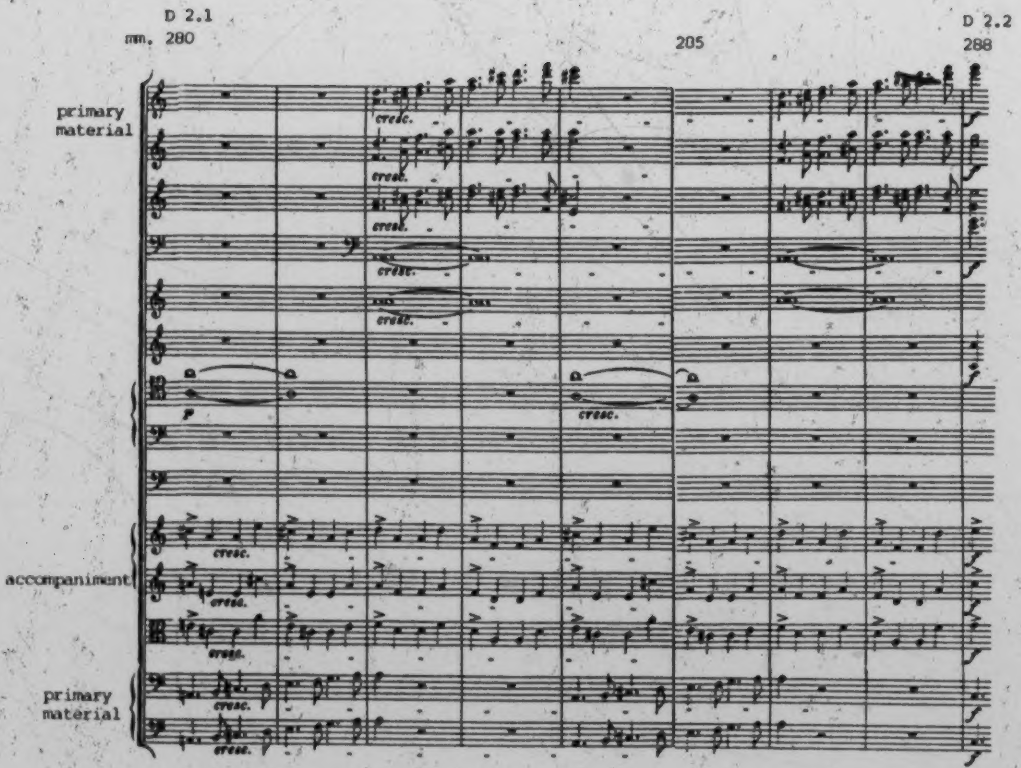
Figure III-11: mm. 288-292


D 2.2
mm. 288
290
292
294
D 2.3
296
Fl.
Ob.
Cl.
Fg.
Cor.
Tbe.
Vl.
Vla.
Vc.
Cb.


D 2.2
mm. 288
290
292

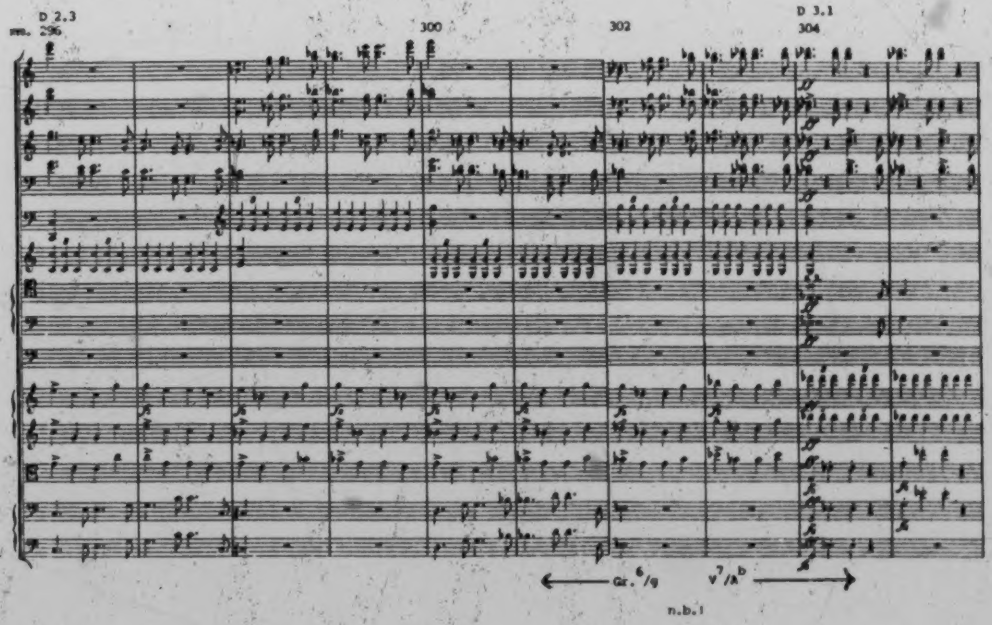
The role of melody and counter-melody from D 1 (D 1.2 to be precise) is reversed beginning in D 2. That is to say, the primary melodic material in the second segment of the development is derived from the scalar passage-work initially sounded in E2 (m. 94 ff.), while its accompaniment resembles thematic material from the outset of 2E1 (m. 134 ff. (see figure III-12)).

Figure III-12: mm. 280-288


D 2.1
mm. 280
205
D 2.2
288
primary material
accompaniment
primary material
cresc.
p
f

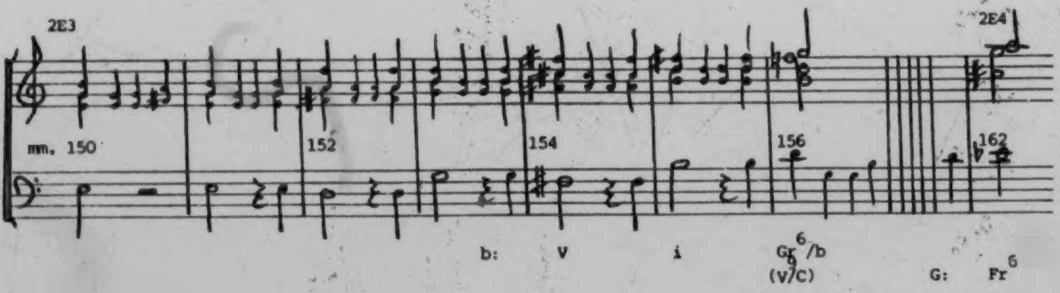
The arpeggiating figures in D 2.3 (mm. 296-303) are rhythmically identical to the primary material in D 2.1 and D 2.2, but lend to this the final phrase of D 2 a decidedly different melodic character. In a harmonic sense, D 2.3 is transitional, and it appears that in it Schubert is heading toward G minor. But in measures 302-303--having reached the German sixth of G--the phrase stops short of its apparent harmonic goal (see figure III-13).

Figure III-13: D 2.3 to D 3, mm. 296-304



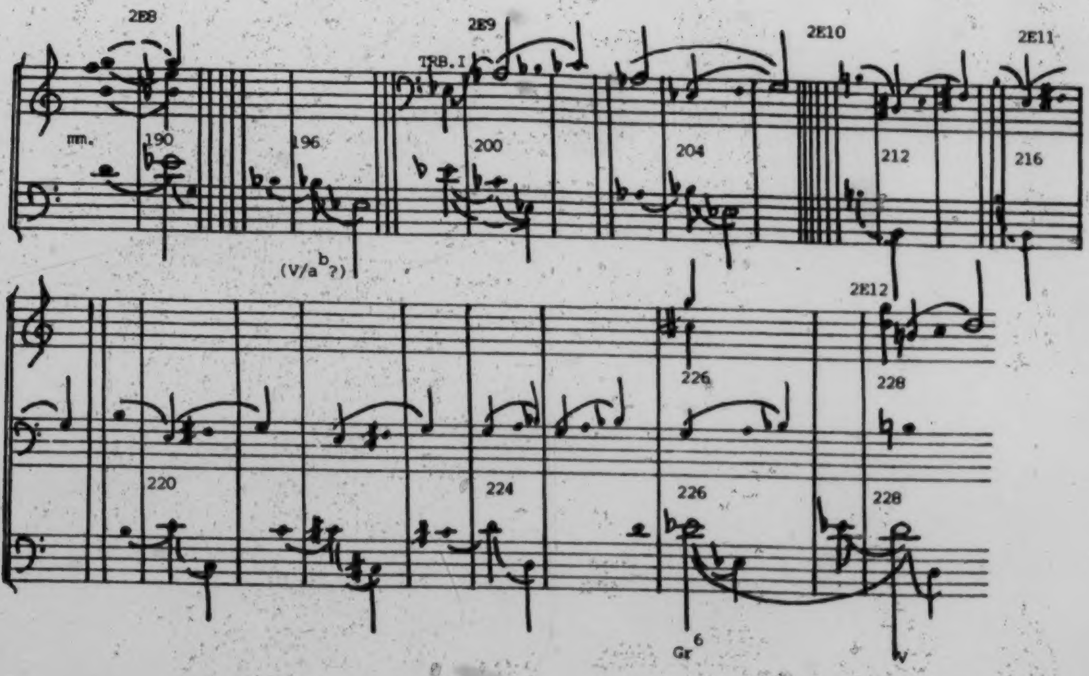
The concluding measures of D 2.3, then, exemplify musical irony, for while they represent the German sixth of G minor as a back-relating pre-dominant, measures 302-303 function as a dominant preparation for A-flat minor, since D 3 (mm. 304-315) begins in that key. This method of establishing momentary harmonic ambiguity--a common deception employed by 19th-century composers--is used by Schubert on more than one occasion in the movement. A similar *double entendre* occurs in the modulation from the background third-divider to the dominant in theme group two of the exposition (*i.e.*, from E minor to G Major). Contextually, the G Major-minor seventh chord in measure 156 (2E3) seems to represent the German sixth of B minor, but at the same time it provides a subtle back-reference to C Major, the tonic of the movement. Actually, however, the chord proves to be non-functional, resolving neither to B minor nor to C Major, leading instead to the French sixth of G Major (m. 162) for the opening of 2E4 (see figure III-14).

Figure III-14: 2E3 to 2E4, mm. 150-162



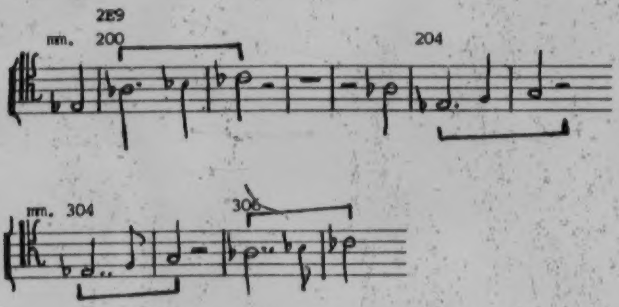
In measure 190 of the exposition, Schubert invokes another example of irony, as the E-flat Major chord in this measure exercises decidedly different meanings on foreground and middleground levels. Common-tone modulation introduces the chord at the outset of 2E8 (mm. 190-199), and locally it acts as V of A-flat minor; the dominant is implied, however, only in a foreground sense, for ultimately the E-flat sonority functions in the middleground as the initial, but incomplete, articulation of the German sixth of G Major. Once made complete by the addition of C sharp (mm. 226-227), the German sixth chord--prolonged from 2E8 to the conclusion of 2E11--progresses directly to V of G for the opening of 2E12 in measure 228 (see figure III-15).

Figure III-15: The Prolonged German^6 of G (mm. 190-228)



Both 2E8 and D 3.1 commence with V of A-flat minor. A more profound similarity between the latter portions of the exposition (2E8 through 2E12) and D 3 from the development, however, devolves from the derivation of the primary motivic material in D 3, from the trombone melody first heard in 2E9 (m. 200 ff. (see figure III-16)).[2]

Figure III-16: A Comparison of 2E9 and D 3.1



As it turns out, D 3 is a re-working of--rather than merely developmentally related to--2E8 and the subsequent segments of the exposition. While the previously-mentioned associations--and additional analogies, such as orchestration--are important, there are significant differences between these sections of the movement: not only is the melody in D 3.1 a truncated version of the melody from 2E9, but the order of the component parts in D 3.1 is inverted from that of earlier segment (see figure III-17); further, D 3 and segments 2E8 through 2E12 lead to very different tonal goals.

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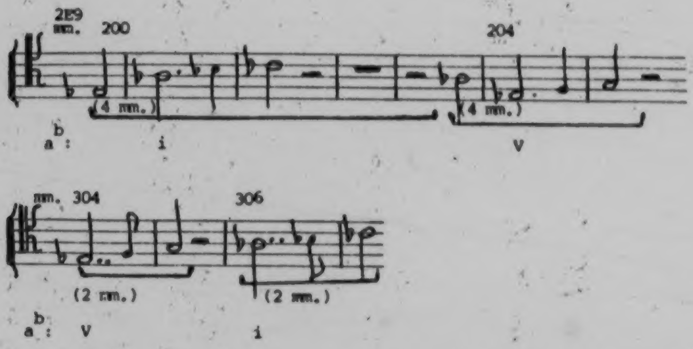
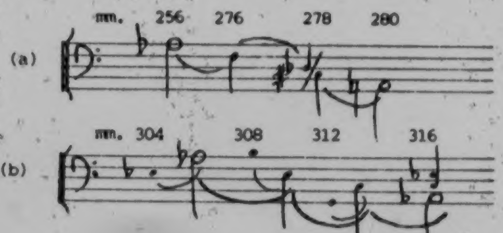
[2] The progenitor in each case (2E9 and D 3.1) is the French Horn melody from the first measures of the symphony.

Figure III-17: A Further Comparison of 2E9 and D 3.1



The importance of this last distinction is paramount. D 3.2 represents the second leg of a sequence that begins in the preceding phrase, and, because D 3.2 prolongs E minor, its harmonic structure is similar to that of 2E10. But D 3.3 does not correspond directly to material from the exposition. Instead, by establishing C minor as its local tonic, D 3.3 continues the unfolding of the development's second axis of ~~des~~cending thirds, culminating in the arrival of A-flat Major in D4. Both descending-third axes from the development are presented in figure III-18.[3]

Figure III-18: The Axes of Descending Thirds in the Devt.



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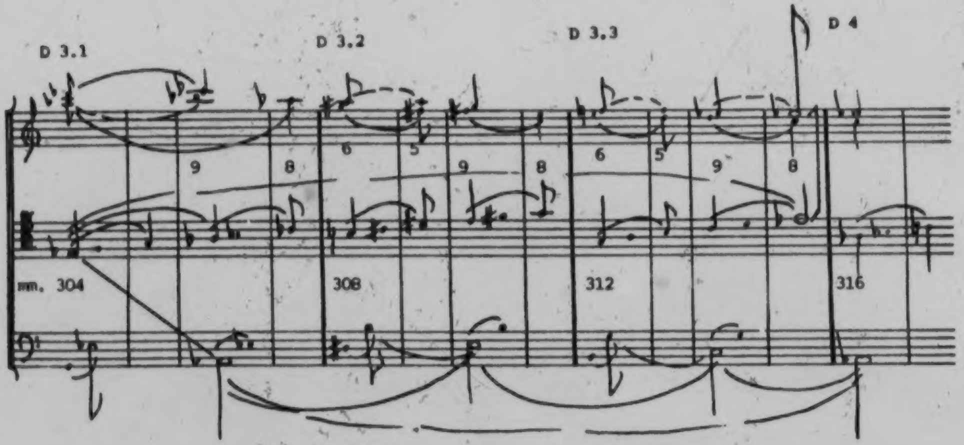
[3] The first axis of descending thirds was discussed on page 55 above. It is found in the modulation from A-flat Major (m. 256 ff.) to A (as V/d), for the opening of segment D 2.

The distinction between these passages is immediately apparent, for the second axis--unlike the first--is entirely symmetrical, descending only by Major thirds.

D 3.3 has a second and somewhat more subtle function. In measure 315, E flat is found in the upper voice; the first and last melodic pitches in D 3 are, therefore, the same.[4] The return of E flat to the outer voice is of fundamental importance to the linear analysis of the development, for one finds that this pitch ultimately serves as an upper neighbor of d^5, the structural supertonic scale-step--that is, $\hat{2}$--of the movement.[5] Figure III-19 is a summary of measures 304-316, D 3 through to the first measure of D 4.

Figure III-19: D 3 to D 4, in Reduction



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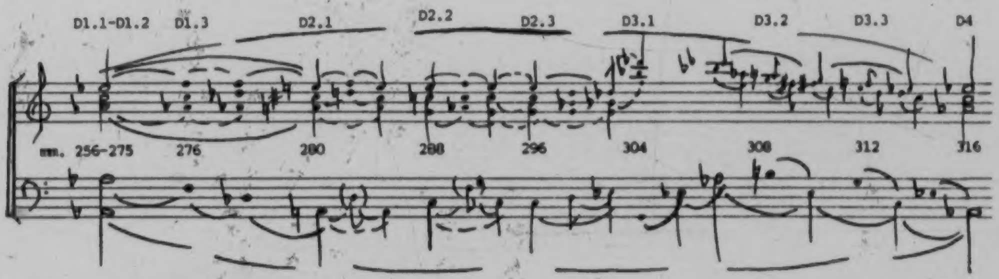
[4] Of course, they occur in different registers. D 3.1 begins with eb^3 in the upper voice, whereas D 3.3 concludes two octaves higher, on eb^5 (m. 304 and m. 315 respectively).

[5] The middleground analysis of the movement is found in the pocket attached to the inside back cover of this thesis.

In order to come to terms with the deeper meaning of the development section as a whole, we must first understand the function of D 4. Quite simply, a single sonority--an A-flat Major chord--is articulated throughout its 12 measures (mm. 316-327); in so doing, Schubert manages to suspend, temporarily, both the melodic and the harmonic flow of the development. D 4 thus represents a protracted and written-out pause on A flat. In a middleground sense, then, the 73 measures from D 1.1 through to the end of D 4 function as a prolongation of the tonality heard at the outset of the development (see figure III-20).

Figure III-20: D 1 to D 4 as a Prolongation of A Flat

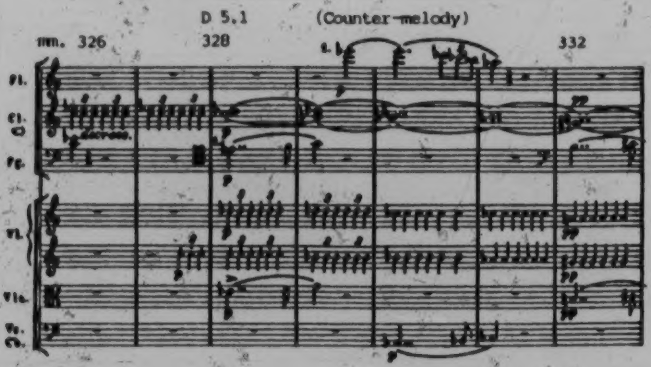


The foreground melodic events of D 4 warrant close scrutiny. In measures 316-319 the by-now characteristic motive, the ascending third from tonic to mediant, alternates bar-by-bar between the trombones and the strings. In measures 320-321 this same motive is treated in rhythmic diminution, after which it ceases. From measure 322 onward, the various accompanimental lines similarly break off, until only the clarinets and bassoons remain (mm. 325-327), sounding E flat and C respectively. These pitches are immediately recognized as the common tones between C minor, the tonality in D 3.3, and A-flat Major from D 4. It is as though the E flat and C are suspended in time--from the conclusion of D 3.3 (m. 315), through the pause on A-flat Major (mm. 316-327)--so that they may ultimately usher in D5 (m. 328 ff.), the penultimate segment in the development.

While D 5 may initially appear to be unique, it is actually a varied repetition of D 3, for there are but two notable differences between the segments. First, whereas the trombones were alone in presenting the melody in D 3, the melody in D 5 is distributed among various instruments. This treatment is underscored by the overall reduction in dynamic level between D 3 and D 5: D 3 is rendered at *fortissimo*, while D 5 features a decrescendo from *piano* to *pianissimo*.

The second noteworthy distinction between D 3 and D 5 is the addition of a counter-melody to the later segment (see figure III-21).

Figure III-21: The Counter-Melody of D 5



The importance of this counter-melody cannot be exaggerated, for with it Schubert provides a discreet signal that the development is drawing to a close. In one sense, the counter-melody--a stepwise descent through a fifth (from the dominant to the tonic)--is simply "cadence-like"; more important, however, is the manner in which the counter-melody enhances the repetition of the development's second axis of descending thirds. That is to say, since the harmonic path in D 5 is identical to that in D 3, it, too, proceeds through the following sonorities: A-flat minor in D 5.1 (as in D 3.1); E minor in D 5.2 (as in D 3.2); C minor in D 5.3 (as in D 3.3); and A-flat Major in D 6.1 (as in D 4). The addition of the counter-melody--the nature of which is cadential--to each phrase of D 5 undoubtedly adds to our awareness of the unfolding symmetrical axis of descending thirds.

The final segment of the development, D 6, is a truly inspired sixteen measures of music. The first four measures of D 6.1 (mm. 340-343) are seemingly once again in the key of A-flat Major; the second half of the phrase, however, refutes this assumption, for measures 344-347 clearly prolong the dominant of C minor (see figure III-22). We are therefore compelled to hear D 6.1 as a VI - V $^{6\,-\,5}_{4\,-\,3}$ progression in C minor.

Figure III-22: D 6.1, mm. 340-347

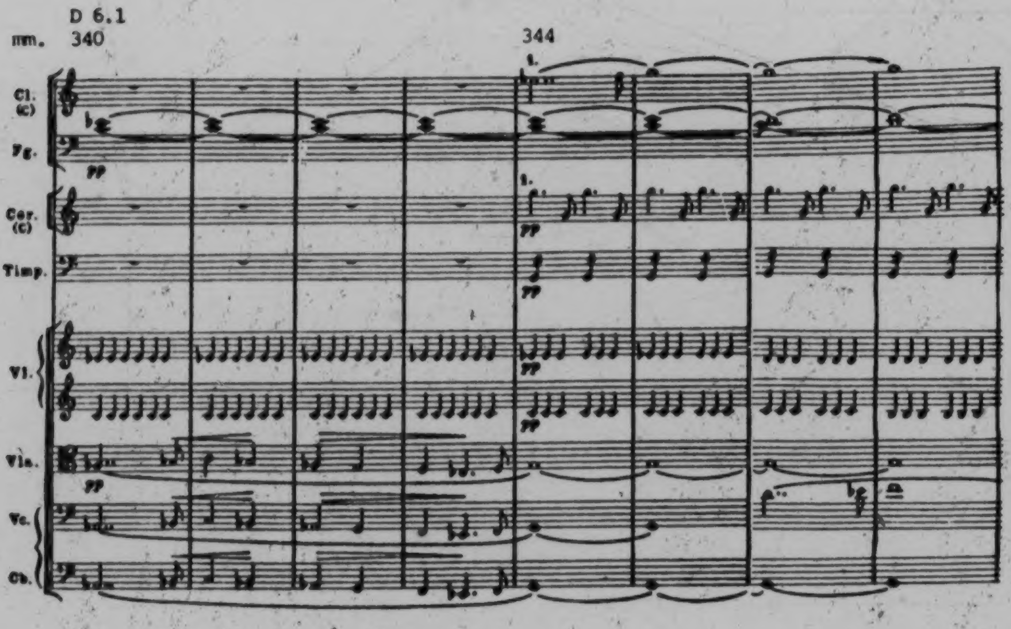

D 6.1
mm. 340
344
Cl. (C)
Fg.
Cor. (C)
Timp.
Vl.
Vla.
Vc.
Cb.
pp

Figure III-23 shows two different interpretations of the voice-leading in D 6.1:

Figure III-23: Two Interpretations of the Voice-Leading in D 6.1

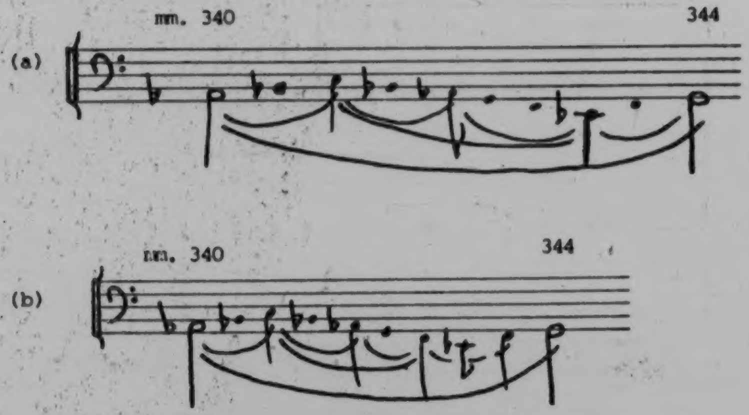
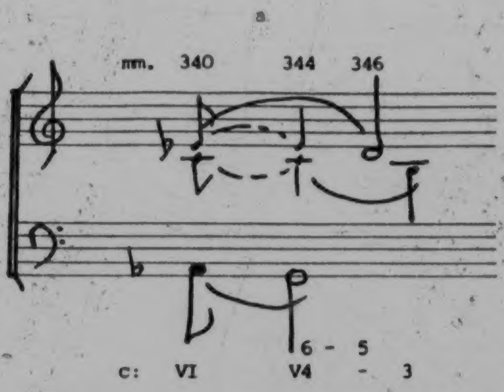

(a)
mm. 340
344
(b)
mm. 340
344

Figure III-23(a) depicts a linearization of the A-flat sonority (VI in C minor). We are asked to hear a melodic sixth-progression from C in measure 341 to E flat in measure 343. The argument against this reading is that the E flat (m. 343) enters on beat two, a weak beat, and contradicts the natural accent of the prevailing duple meter. Figure III-23(b) defines F as the goal-tone of measure 343--underscoring the 2/2 meter--and E flat is simply its lower neighbor. At a further level of reduction, the differences between the two interpretations are minimal. The complication here is in part attributable to the fact that the melody is presented by the bass instruments.[6] Ultimately, figure III-23(a) is correct, for it is consistent with the harmonic pattern of the passage as shown in figure III-24:

Figure III-24: mm. 340-347, in Reduction



A comparison of the melodic lines in D 6.1 and 2E9 provides additional support for acceptance of the reading in figure

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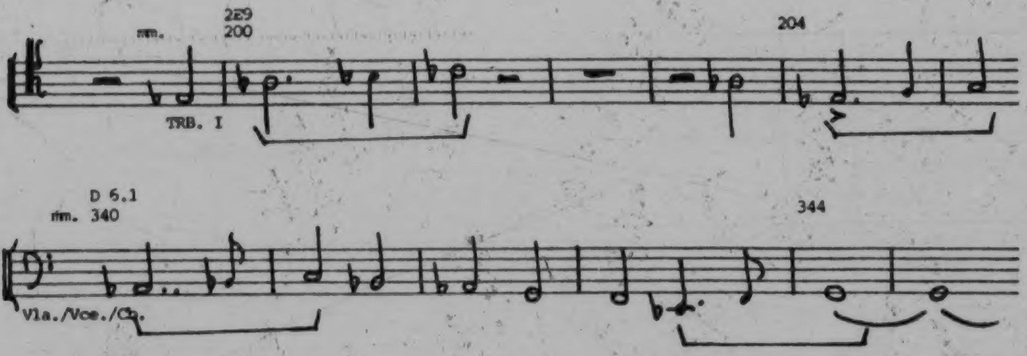
[6] Similar interpretive problems arise whenever we are asked to analyse passages containing active bass lines, for the harmonic structure of the passage is not always immediately obvious.

III-23(a), for a very clever relationship exists between the two segments (see figure III-25).

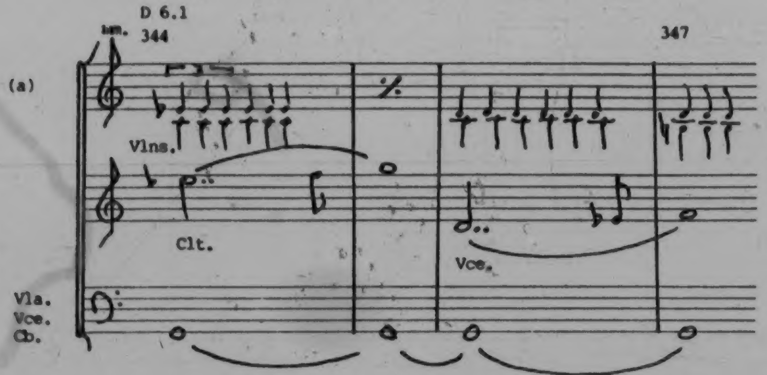
Figure III-25: A Comparison of 2E9 and D 6.1


mm.
2E9
200
204
TRB. I
D 6.1
mm. 340
344
Vla./Vce./Cb.

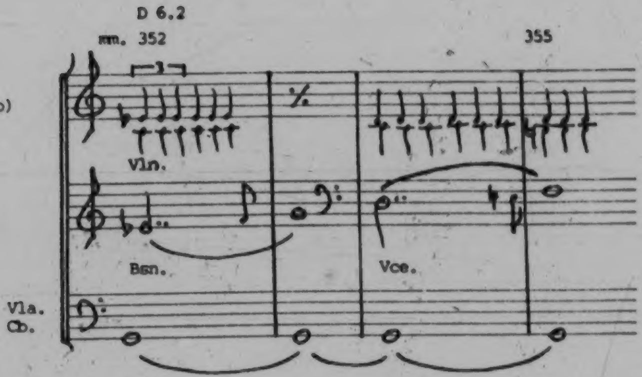
The primary distinction between the two phrases results from the use of C natural in D 6.1 as a replacement for C flat from 2E9. In this way, the later segment functions as a modally-altered response to the earlier one.

D 6.2 is a virtual repetition of the preceding phrase. The single difference between it and D 6.1 is minute but noteworthy (compare figure III-26(a) with figure III-26(b), short scores of mm. 344-347 and mm. 352-355 respectively).

Figure III-26: A Comparison of D 6.1 and D 6.2


D 6.1
mm. 344
347
(a)
Vlns.
Clt.
Vce.
Vla.
Vce.
Cb.

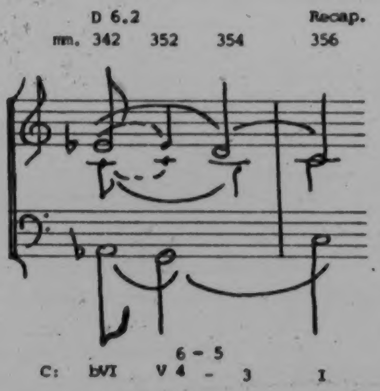
(b)



The importance of the chromatic alteration of the passing tone in the later phrase cannot be overstated, even though it occurs in an inner voice; the substitution of E natural in measure 354 (D 6.2) for E flat from measure 345 (D 6.1) makes it possible for Schubert to begin the recapitulation in the proper mode, namely, C MAJOR.

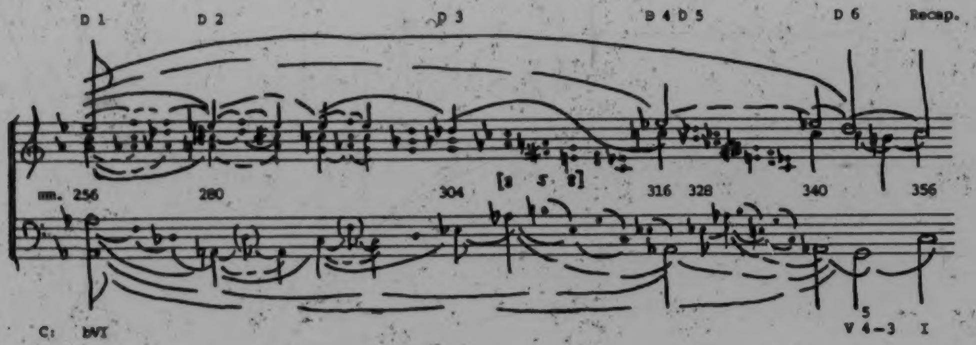
Having acknowledged C Major as the harmonic goal of the phrase, we can now analyse D 6.2 in the following way: bVI - V - I; bVI derives from simple mixture, for it is the diatonic submediant chord in C minor, and its use in C Major represents a "borrowing" from the parallel minor mode (see figure III-27).

Figure III-27: An Analysis of the Motion into the Recap.



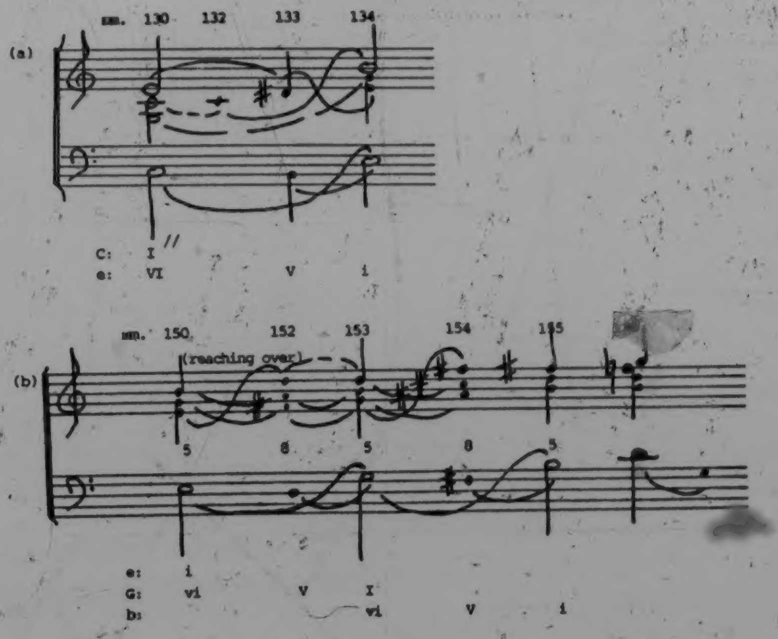
Perhaps the most exciting aspect of the development can now be exposed. Not only are the foreground events in D 6.2 aptly characterized as a bVI - V - I progression in C Major, but so, too, is the deep-middleground analysis of the entire development section--from measure 254 to the beginning of the recapitulation in measure 356; in other words, the development section represents a large-scale prolongation of the flattened submediant chord in C Major--functionally a predominant chord derived from mixture--which ultimately proceeds to the cadential dominant in the retransition; this V is followed by the background tonic chord for the opening of the recapitulation in measure 356 (see figure III-28).

Figure III-28: An Analysis of the Devt.



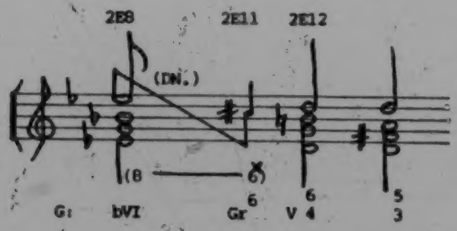
It is not that the bVI - V - I progression is highly original; the dominant is often approached from the submediant chord. Likewise, mixture is commonly used in this style-period, and bVI is one of the most-frequently employed chords of mixture. It is significant, however, that Schubert exploits VI - V - I (on various levels) throughout the entire movement. Consider two earlier, and prominent, occurrences of the progression: the first (mm. 130-134) links theme groups 1 and 2 in the exposition (see figure III-29(a)); in the second, layered presentations of the VI - V - I progression facilitate the initial motion away from the third-divider (E minor) *en route* to the dominant (G Major) in theme group two of the exposition (mm. 150 ff. (see figure III-29(b)).

Figure III-29: Two Passages Built on the VI - V - I Progression



The VI - V - I progression is found--albeit disguised--at two crucial junctures in the movement: toward the conclusion of the exposition (2E8-2E12), and the parallel location in the recapitulation. At an earlier point in the present Chapter,[7] it is noted that the German sixth of G Major prolonged from 2E8 through 2E11 is generated from the E-flat Major chord first heard in measure 190. In general, German sixth chords are defined as modified subdominant sonorities ($IV^{\sharp 6}_{5}$). In this instance, however, the German sixth in 2E11 is more accurately characterized as an alteration of the borrowed submediant chord of G Major, and, therefore, represents another rendering of the VI - V - I progression (see figure III-30).

Figure III-30: 2E8-2E12, a Deep-Level Rendering of the VI - V - I Progression



Analysis of the corresponding material in the final portion of the recapitulation (i.e. 2R9 - 2R13) proves the middleground to be a near-transposition of that of the final portion of the exposition. But more striking is the affinity between the tonal path over the final 62 measures of the recapitulation (mm. 508-569 (see figure III-31(a)) and the tonal path of the entire development section (see figure III-31(b)).

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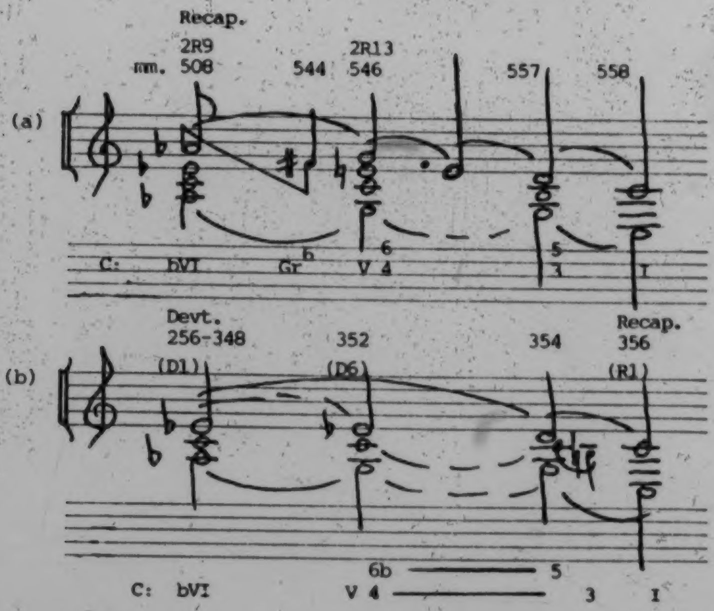
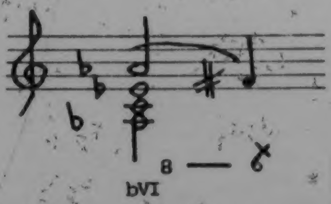
[7] See page 62 above.

Figure III-31: A Comparison of the Devt. and mm. 508-558 of the Recap.


Recap.
2R9
mm. 508
544
2R13
546
557
558
(a)
C: bVI
Gr
V 6 4
5 3
I
Devt.
256-348
352
354
Recap.
356
(D1)
(D6)
(R1)
(b)
6b
5
C: bVI
V 4
3
I

In fact, because of the middleground tonal resemblance between these two sections of the movement, it is tempting to refer to the prolonged A-flat sonority in the development as an "incipient" augmented sixth chord in C Major (see figure III-32).

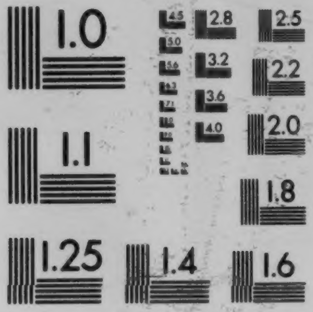
Figure III-32: A German^6 Derived from bVI



Such an interpretation is useful, for it helps us to understand that Schubert has related the concluding portions of the exposition, the development, and the recapitulation

2 of/de 2

PM-1 3½"x4" PHOTOGRAPHIC MICROCOPY TARGET
NBS 1010a ANSI/ISO #2 EQUIVALENT


1.0
4.5
5.0
5.6
2.8
3.2
3.6
4.0
2.5
2.2
2.0
1.1
1.8
1.25
1.4
1.6

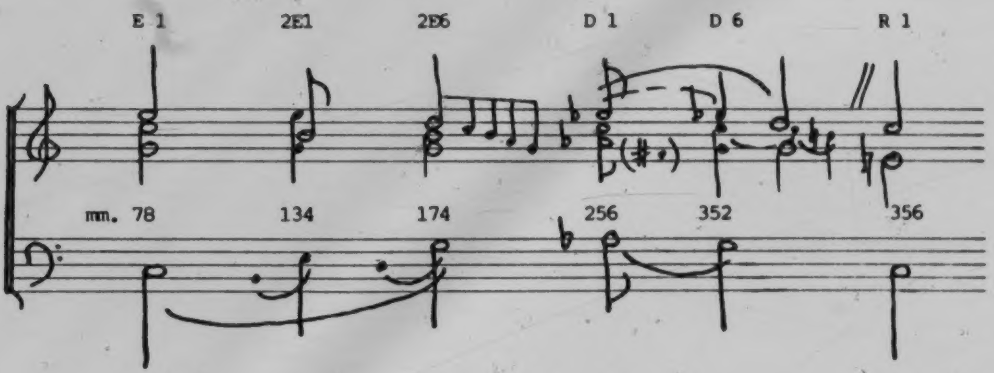
to one another through harmonic means (see figure III-33).

Figure III-33: A Harmonic Relationship between the Expos., the Devt., and the Recap.

Exposition					Development				Recapitulation				
	2E8	2E11	2E12		D 1		D 6	R1		2R9	2R12	2R13	
G:	bVI	Gr^{6}	V6 - 5	I	C: bVI	[Gr^{6}]	V6 - 5	I	C:	bVI	Gr^{6}	V6 - 5	I

We are now able to summarize the tonal events from the opening of the exposition (m. 78) through to the appearance of the recapitulation in measure 356 (see figure III-34).

Figure III-34: An Analysis of E 1 through to R 1, mm. 78-356



One must be cautious when reading figure III-34, for the juxtaposition of A-flat Major (the foreground tonic at the opening of the development) and G Major (from the conclusion of the exposition) must not be construed as a Neapolitan relationship; such an interpretation would contradict at least two fundamental principles of common-practice tonality.[8] First, bII (Neapolitan) is a predominant chord, and by definition implies a continuation to V (see figure III-35).

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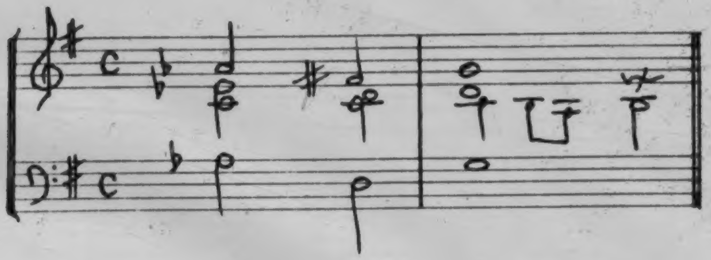
[8] An example of a true Neapolitan relationship is found in the first ten measures of Beethoven's "Appassionata" Sonata, opus 57. The opening motive in the Beethoven (mm. 1 - 4) outlines the progression I to V^{6} in F minor. This is followed by an exact sequential repetition of mm. 1 - 4 a

Figure III-35: An Example of a Functional Neapolitan Chord



The A-flat chord does not so function in the development section of the Schubert, and it therefore follows that the conclusion of the exposition and D 1 through D 6 are not in a Neapolitan relationship. The second principle concerns the very definition of sonata form. Although the conclusion of the exposition and the beginning of the development are temporally contiguous events, we do not hear them as being gesturally connected. Sectional articulation is a characteristic of the Classical era, and an intrinsic premise of Classical sonata form. On the foreground level, then, it is important that we regard the end of the exposition as a conclusion, and the opening of the development as a beginning.

From the foregoing argument, it would appear that a sonata-form movement contains three distinct and independent

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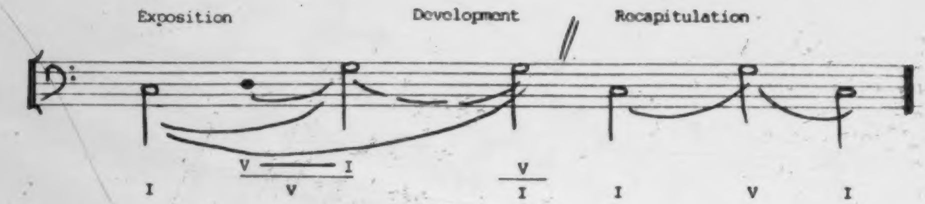
semitone higher; thus, mm. 5 - 8 unfold the progression bII (Neapolitan) to V/bII, which then proceeds to the dominant of F minor in mm. 9 - 10.

sections, namely, the exposition, the development, and the recapitulation. It must be remembered, however, that above all else, the Classical-era sonata-form movement is a *tonal* (rather than a melodic) form, and more to the point, it is a *two*-part tonal form, part one of which is not complete until the *foreground* functional dominant of the movement is reached. Since the exposition section of most major-mode sonata-form movements concludes with a tonicization of V, it remains for the development section to convert this foreground *tonic* into the foreground--and functional--*dominant* (see figure III-36).

Figure III-36: A Tonal Paradigm for Major-Mode Sonata-Form Movements



The two parts of the form are defined in the following way: the exposition and the development--featuring a harmonic progression from tonic to dominant--together represent part one; the recapitulation--providing the background I - V - I harmonic progression of the movement--constitutes part two.[9] Figure III-37 shows that Schubert's movement complies with the preceding description.

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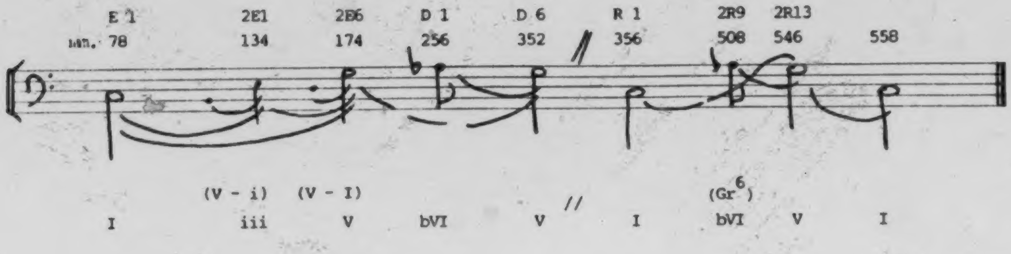
[9] This definition of sonata form is congruent with Schenker's notion of the bass arpeggiation as it relates to interruption.

Figure III-37: The Tonal Path in Schubert's Sym. 9/I


E 1
2E1
2E6
D 1
D 6
R 1
2R9
2R13
mm. 78
134
174
256
352
356
508
546
558
(V - i)
(V - I)
(Gr^6)
I
iii
V
bVI
V
//
I
bVI
V
I

Chapter IV

A Study of the Introduction

That Schubert's final symphonic work begins with a slow introduction is not in itself exceptional, for slow introductions precede the exposition sections in even the earliest examples of sonata-form movements. In *The Classical Style: Haydn, Mozart, Beethoven*, Charles Rosen characterizes the intrinsic function of these appendages: "An introduction implies a sense of expectancy: in more technical language, it is rhythmically an expansion of an upbeat, and if it extends to any length, it must end as an unresolved dominant chord without having modulated."[1]

While Rosen's statement is certainly general, it is anything but vague. He implies that a sure way of guaranteeing a "sense of expectancy" in the lengthy introduction is through harmonic design. That is to say, when an extended introduction closes with an unresolved dominant, the ensuing tonic harmony--at the outset of the exposition--takes on added significance; this tonic is no longer merely the proclamation of the composition's opening tonality, but, rather, the resolution of deliberately-invoked harmonic tension.

Rosen's stipulation that the introduction's concluding dominant chord must be a non-cadential foreground event (*i.e.* "an unresolved dominant chord without having modulated"), differentiates the Classical sonata-form introduction from introductions that serve as independent movements. By way of illustration, consider the opening *Largo* of Handel's Concerto Grosso Opus 6, no. 12, which unfolds a large-scale tonic-to-dominant harmonic progression, and concludes with a phrygian cadence in B minor; it is perhaps logical to assume that such a cadence will necessitate a strong affinity with the ensuing movement. The opening *Largo*, however, is related to the following *Allegro* only by key; melodically, the two movements are independent.[2] The Classical sonata-form introduction, on the other hand, is associated with the remainder of the movement in more than just this dominant-prolongational harmonic sense. Were it not so, the metamorphosis of the introduction into a dramatic gesture--something that Rosen attributes to Haydn[3]--could never have occurred; in large measure, this transformation results from the high degree of thematic relatedness between the introduction and the exposition in Classical-era sonata-form movements. According to Rosen, however, the Classical composer avoids overly-defining the melodic material in his sonata-form introductions. Rather, various methods are used to prevent introductions from displaying too much directional force: a flagrantly slow tempo, for example, will give a seemingly shapeless quality to the melodic line. "The essential character of [a Classical sonata-form] introduction . . . is a lack of precise definition; if it does not retain enough of this nebulous quality, it risks sounding like the true opening in itself."[4]

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[1] Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven*, (New York: W. W. Norton & Co., 1972), 345.

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[2] It is not uncommon to find the phrygian half-cadence at the conclusion of a minor-mode movement from the Baroque era. In such a composition, the ensuing movement can be in the same key, but equally-often it is in a Major mode whose tonic is a major third below the dominant of the preceding movement. See, for example, the conclusion of the *Adagio* and the beginning of the succeeding *Allegro* in Handel's Harpsichord Suite No. 2.

[3] Rosen, *The Classical Style*, *op. cit.*, 345.

By including several examples that support his argument, Rosen manages to convey an understanding of what constitutes "a lack of precise [melodic] definition." After listening to the first movement of Beethoven's Seventh Symphony, for instance, we sense what Rosen calls the "nebulous quality" of an introduction, though a more-precise definition of the effect may be ineffable.

For Rosen, there is a clear distinction between the extended sonata-form introduction from the Classical and from the Romantic eras. Concerning the melody of the former, Rosen claims that its "fragmentary character is indispensable."[5] The Romantic introduction, on the other hand, embodies "a melody so well-rounded, so complete that it can be attached only with difficulty to the movement that follows."[6]

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[4] *Ibid*, 347.

[5] *The Classical Style*, *op. cit.*, 350,

[6] *Ibid*, 350.

Rosen's characterization of the Romantic introduction may be unfortunate. Distinguishing between the two style-periods on the basis of degree of melodic autonomy--that is, by categorizing the melody as either fragmentary ~~or~~ well-rounded--seems to be rational, but the further portrayal of the Romantic introduction as one that "can be attached only with difficulty to the movement that follows," is, at best, misleading. First, the comment suggests that the Romantic introduction is ancillary to the sonata-form movement--the compositional equivalent of an after-thought. Further, the comment can be misconstrued and taken to mean that the introduction pejorates the overall effectiveness of the piece.

The introduction to the first movement of Schubert's Ninth Symphony refutes both ideas. In the "Epilogue" to *The Classical Style*, Rosen admits that this symphony "starts with a true Romantic introduction," though the remainder of the movement is unquestionably Classical in nature.[7] But what Rosen fails to point out is that by prefacing the *Classical* sonata-form movement with a *non-Classical*

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[7] Rosen, *The Classical Style, op. cit.*, 459. That this symphony includes traits normally associated with both style-periods should not be interpreted as a fault. To do so would be to display ignorance of an important fact: there is naturally a great deal of overlapping between the twilight of any one style-period and the inception of the next. As Rosen so eloquently notes, Schubert "cannot be easily placed into any one category--Romantic, post-classical, or classical--and he stands as an example of the resistance of the material of history to the most necessary generalizations, and as a reminder of the irreducible personal facts that underlie the history of style." [p. 460]

(Romantic) introduction, Schubert must balance two realities. I believe that Schubert has done just that, for the introduction to his Ninth Symphony does more than delay the opening of the movement proper by some 78 measures; on the other hand, it is not merely "the true opening [of the movement] in itself." A sense of expectancy is an intrinsic characteristic of an introduction, but at the same time this introduction places extrinsic limitations on the remainder of the movement--it serves as a harmonic *and* a melodic blueprint for what is to follow.

The introduction is divisible into six segments, and these segments are defined in Figure IV-1:

Figure IV-1: Schematic Overview, Introduction

segment:	I1	I2	I3	I4	I5	I6	EXPOS.
mm.	1 - 16	17 - 28	29 - 37	38 - 47	48 - 60	61 - 78	

I1, consisting of two melodically-related eight-measure phrases, twice pronounces the signature motive of the symphony, initially in a solo statement by the French horns (mm. 1-8), and then by the woodwind choir fully accompanied (mm. 9-16). The manner in which this material is taken over in the latter portion of theme group two of the exposition was discussed in Chapter Two.[8]

We must now investigate another, and more subtle, way in which the introduction foreshadows what is to follow in the exposition and (even more directly) in the recapitulation. Consider the symphony's opening two measures (see figure IV-2):

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[8] See p. 40 above.

Figure IV-2: mm. 1-2

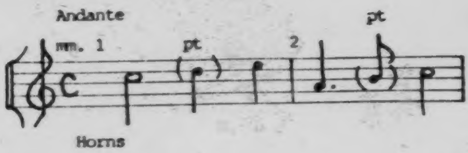
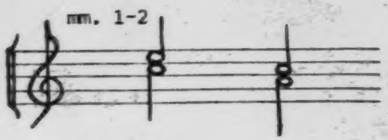


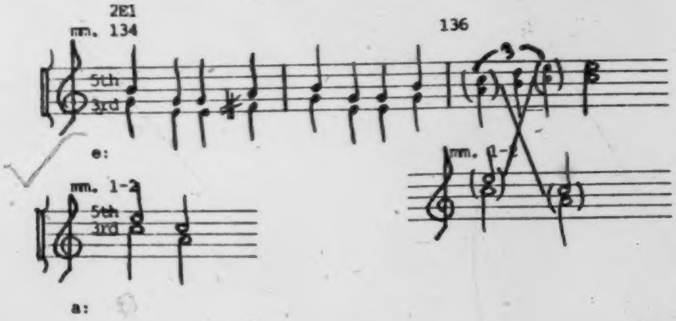
Figure IV-2, which shows that the D of measure one, and the B of measure 2 are passing tones, puts the opening motive in a different light: as two unfolded vertical cells (see figure IV-3).

Figure IV-3: mm. 1-2 as Vertical Cells



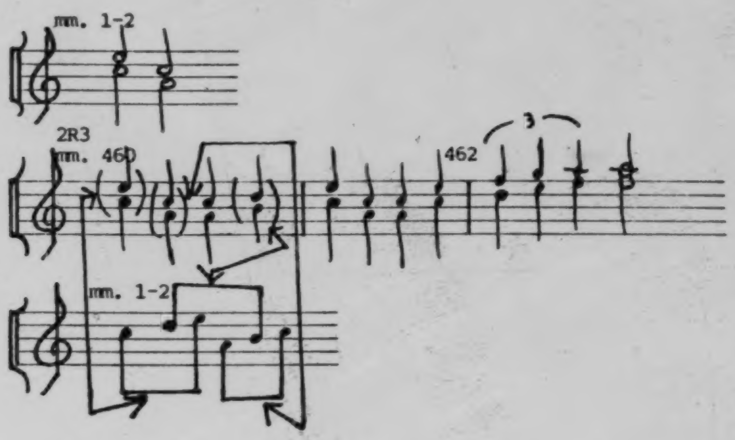
Both dyads from figure IV-3, C - E and A - C, are common to the A-minor triad; more important, however, is the manner in which this material serves as progenitor to the opening measures of theme group two from the exposition and the recapitulation. In figure IV-4, 2E1 and the verticalized motive from I1 are juxtaposed.

Figure IV-4: Juxtaposition of 2E1 and mm. 1-2



The association between I1 and the opening of theme group two is much more obvious in the recapitulation--especially from 2R3, measure 460, onward--than it is in the exposition;[9] even the passing tones from measures one and two (D and B) are accounted for in this comparison, for, verticalized, they serve an identical function at the outset of 2R3 (see figure IV-5).

Figure IV-5: Juxtaposition of 2R3 and mm. 1-2



With I2 (mm. 17-28), we begin to sense just how much the introduction foreshadows the events of the remainder of the movement. I2 is preceded (in I1) by a one-measure counter-melody presented in the violins. This two-voice counter-melody is taken over by the violas and cellos in I2, where it becomes the principal melodic material (see figure IV- 6).

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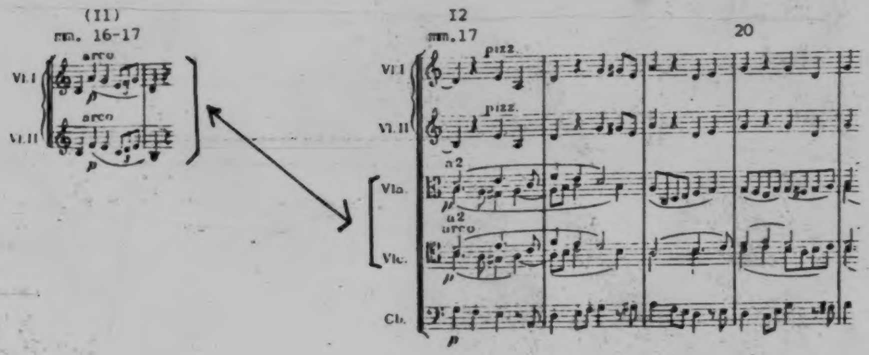
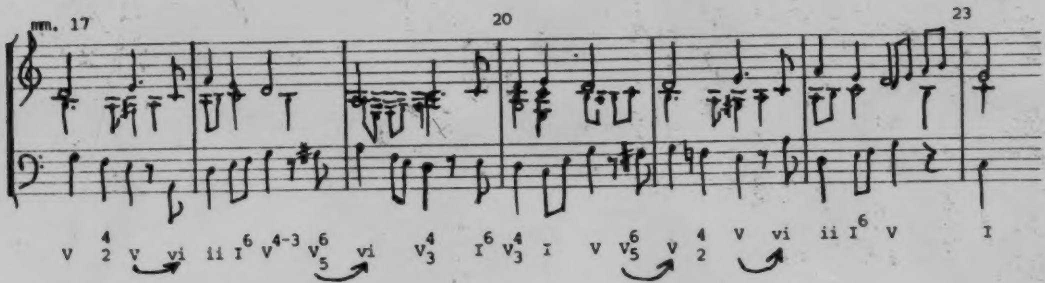
[9] It will be remembered that 2R3 represents the point in the recap. at which the "requisite" tonality for the opening of theme group two is reached (see Chapter One p. 23).

Figure IV-6: The Counter-Melody in I1 Becomes the Principal Melody in I2


(I1)
mm. 16-17
Vl.I
Vl.II
arco
p
I2
mm.17
20
pizz.
Vla.
Vlc.
Cb.
a2
arco

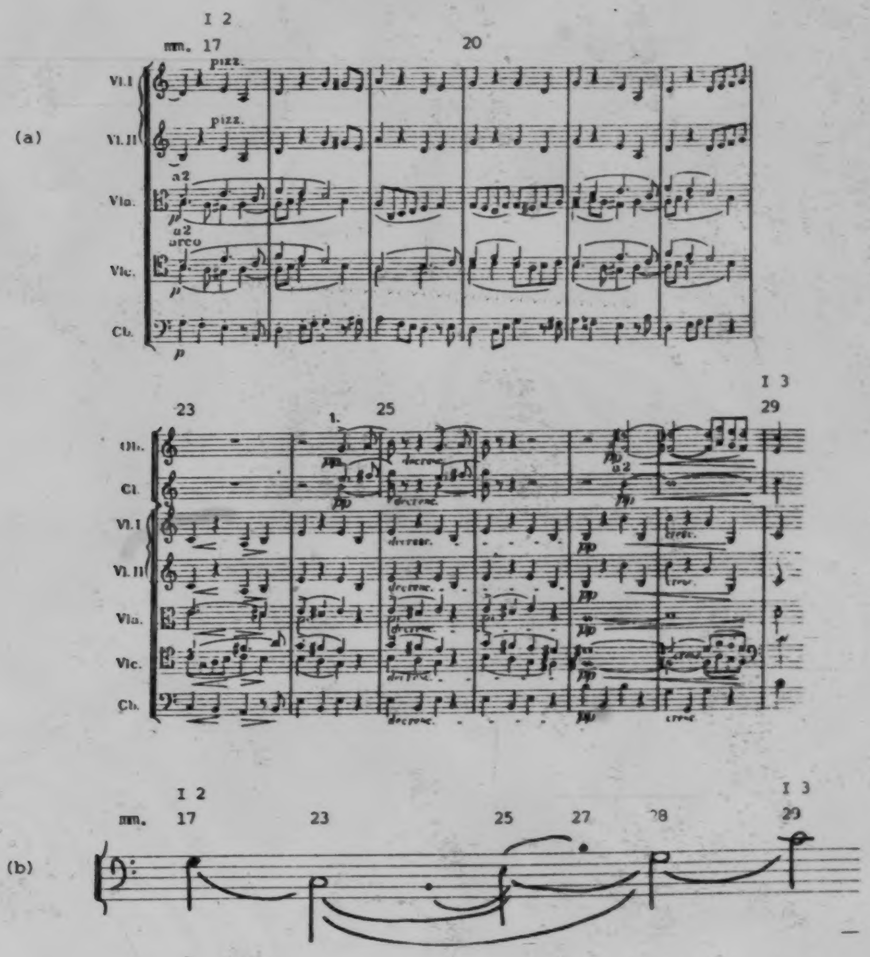
I2 prolongs C Major in an interesting way. The first portion of this segment (mm. 17-23), while extending C Major, does so by exploiting its submediant, and, in so doing, Schubert anticipates one of the most significant harmonic regions of the recapitulation, namely, A minor (see figure IV-7).

Figure IV-7: mm. 17-23


mm. 17
20
23
V
4 2
V
vi
ii
I6
V4-3
V6 5
vi
V4 3
I6
V4 3
I
V
V6 5
V
4 2
V
vi
ii
I6
V
I

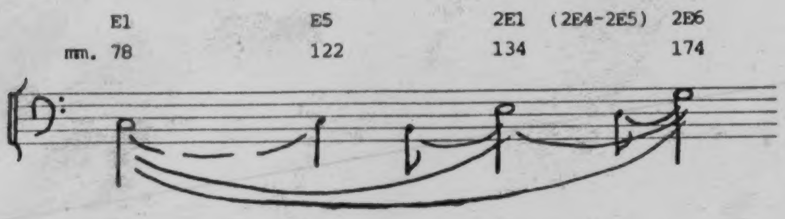
The intensifications of the A minor chords through their applied dominant are very much foreground events, and therefore represent only subtle references to the tonal path in the recapitulation. In the latter portion of I2--and throughout much of the remainder of the introduction--Schubert is more direct in his foreshadowing of harmonic events that are to play significant roles elsewhere in the movement. Figure IV-8 presents I2 and a middleground analysis of the bass line from these measures, showing the underlying harmonic progression: I - iii - V in C Major (see figure IV-8).

Figure IV-8: I2


(a)
I 2
mm. 17
20
Vl. I
Vl. II
Vla.
Vlc.
Cb.
pizz.
a2
arco
23
1.
25
I 3
29
Ob.
Cl.
(b)
I 2
mm. 17
23
25
27
28
I 3
29

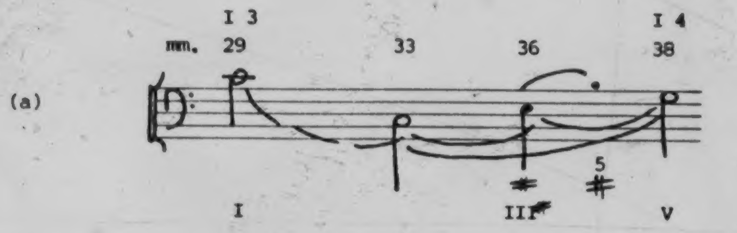
This harmonic progression is an obvious reference to the tonal events unfolded over the course of the entire exposition (see figure IV-9).

Figure IV-9: Е1 to 2E6, in Reduction

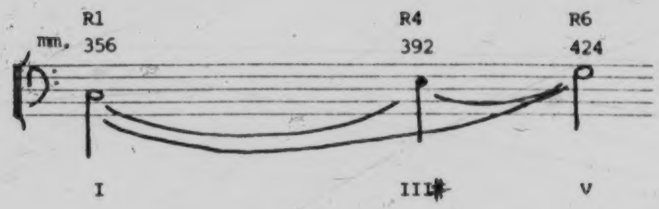


In I3 (mm. 29-37), Schubert once again uses the movement's signature melody, pitting the strings and brass, in octaves, against the thinner-sounding, but harmonized, woodwind choir. The resulting timbral opposition is underscored by dynamic means--the strings and brass play *fortissimo*, while the woodwinds are marked *piano*. Harmonically, I3 and the opening measures of I4 presage tonal events from the first theme group of the recapitulation, for both formal regions of the movement unfold the following progression: I - III$^{\#}$ - V in C Major (see figure IV-10).

Figure IV-10: Comparing the Tonal Motion in I3-I4 and R1-R6



(b)



Thus, the initial four segments of the introduction present the harmonic framework that is to account for much of the background tonal material in the remainder of the movement.

A further tonal foreshadowing results from Schubert's use of the A-flat sonority in measure 48, the first bar of I5. We recall the significant role A flat serves in the development section,[10] to say nothing of the recapitulation. That Schubert should anticipate bVI of the development in I5 is appropriate, considering the extensive tonal foreshadowing that is found throughout the introduction. This having been said, it is not surprising to find that the A-flat sonority in I5 functions as an upper neighboring expansion of V (confirmed by the arrival of the dominant chord in measures 59-60), for that is its function in the development.

bVI at the outset of I5 (m. 48) is prepared in a very cunning way. The primary melodic material in I4 (mm. 38-47) is presented by solo oboe, while the strings and low brass provide a counter-melody. Essentially, both the melody and the counter-melody unfold V^{-9} chords. The dissonant A-flat (flat $\hat{6}$) in the dominant sonority becomes the consonant root of the A-flat Major chord in measure 48 (see figure IV-11).

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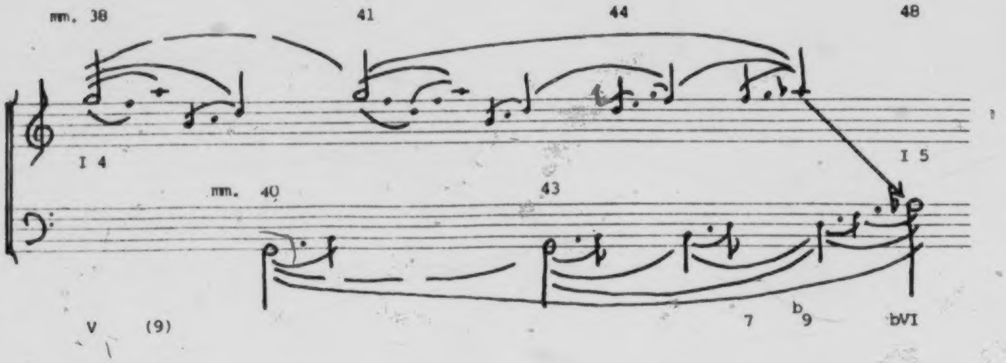
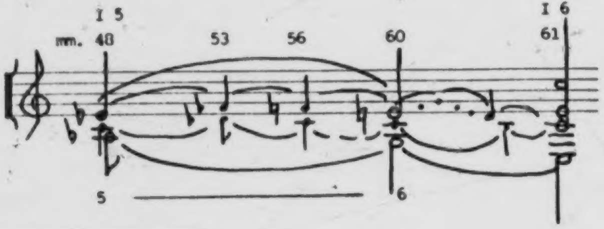
[10] See Chapter Three above.

Figure IV-11: mm. 38-48, in Reduction



Subtle voice leading is found in the conversion of the A-flat tonality at the opening of measure 48 into the dominant $\begin{smallmatrix}6 & - & 5\\ 4 & - & 3\end{smallmatrix}$ of C Major for the conclusion of I5 in measures 59-60. The voice leading used in this portion of the introduction is not unlike the 5 - 6 technique encountered elsewhere in the movement.[11] [Notice that Schubert exploits semitone motion in an inner voice as consonant support within this 5 - 6 progression (see figure IV-12)].

Figure IV-12: mm. 48-61, in Reduction



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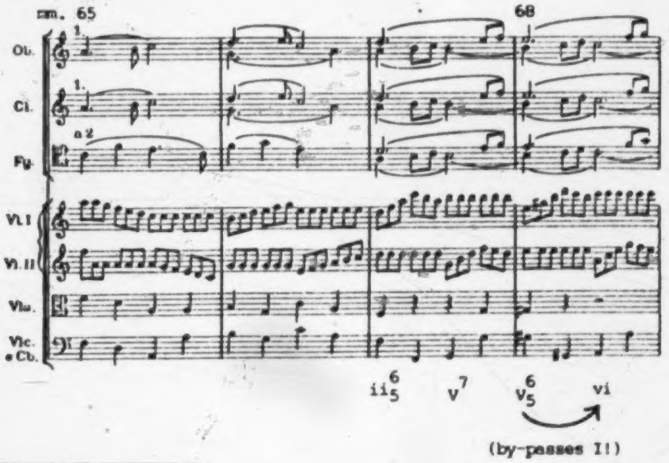
[11] For example, see the discussion relating to D 1.3 in Chapter Three (pp. 55-56).

I6 (mm. 61-78) is the concluding segment of the introduction, and--based on Rosen's earlier-cited characterization[12]--its primary function can be deduced with relative confidence: I6 must ensure that the necessary sense of expectancy has been rendered over the course of the entire introduction. In part, this sense of expectancy will be created harmonically, for the introduction will conclude with an unresolved foreground dominant of C Major.

Schubert fulfills our expectations in I6. For its primary melodic material, this segment (like I3 before it) draws on the symphony's opening gesture (mm. 9-16, to be precise). I6 differs from the earlier material in an important way: since it is patterned on the second phrase of I1, we are led to expect an authentic cadence in measure 68; but this cadence is bypassed, and instead Schubert extends the phrase for several measures (see figure IV-13).

Figure IV-13: mm. 65-68



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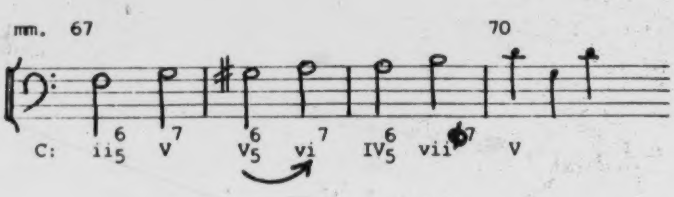
[12] See p. 81 above.

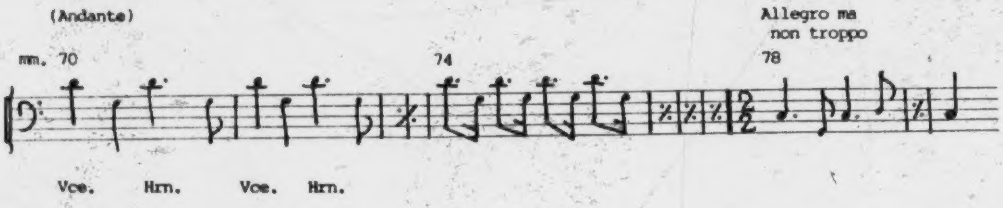
Measures 67 through 69 unfold a sequence patterned on a stepwise ascending bass line (see figure IV-14).

Figure IV-14: The Ascending Bass Line in mm. 67-70



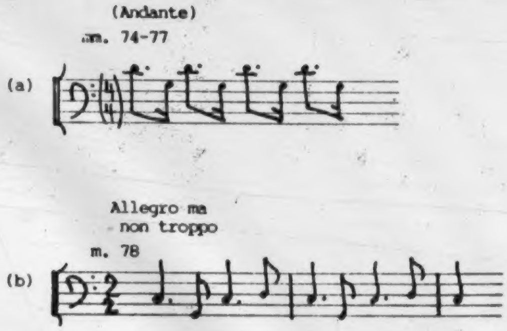
The sequence is broken in measure 70 with the arrival of the dominant of C, which is then prolonged for the remaining eight measures of the introduction (mm. 70-77). In addition to providing the necessary harmonic orientation, measures 70 through 77 craftily anticipate the primary melodic material for the opening of the exposition. The motive heard at the opening of E1 (mm. 78 ff.) devolves from a composite of the cello/bass pairing, and the inner voice French horns. This material, and the opening measures of the exposition are shown in figure IV-15.

Figure IV-15: mm. 70-78, the Conclusion of the Intro. to the Opening of the *Allegro*



The D - G leaps in the introduction exploit the dominant-to-tonic relationship in G. This motive ($\hat{5}$ - $\hat{1}$) is reversed and transposed in the exposition. The sameness of rhythmic character in the two passages, however, is striking. Measures 74 through 77 repeat a dotted eighth-note/sixteenth-note rhythmic cell in $\frac{4}{4}$ meter marked *Andante* (see figure IV-16(a)), while the primary melodic motive at the opening of the exposition is based on a dotted quarter-note/eighth-note pattern in $\frac{2}{2}$ meter marked *Allegro* (see figure IV-16(b)).[13] The two sections, then, are rhythmically similar, but temporally identical.[14]

Figure IV-16: Temporal Identity Between the Conclusion of the Intro. and the Beginning of the Expos.



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[13] In discussing mm. 76-80 of this movement, Douglass Green (*Form in Tonal Music*) notes the anticipatory character of the melodic material at the conclusion of the introduction. Green, however, labels mm. 76-77 "transitional," and this suggests a disassociation from the rest of the introduction.

The similarity between the conclusion of the introduction and the opening of the exposition was even more noticeable in an earlier draft version of the symphony, for there, the upper neighbor "d" in mm. 78-79 of the final version, was absent, and in its place Schubert had written "g". See J. Rifkin "A Note on Schubert's Great C Major Symphony," *19th-Century Music*, 6/1, 1982: 13-16.

[14] I have noted (in recordings and in live performances of the symphony) that the motive discussed above tends to unfold at the same speed--in real-time--in both the introduction and the exposition, thus preserving the temporal identity between the two sections of the movement. Listen, for example, to Herbert von Karajan's 1978 recording of the symphony, performed by the Berlin Philharmonic.

The cumulative effect of the introduction can now be considered: by anticipating the harmonic framework in a way that also foreshadows much of the melodic material from the remainder of the movement, this introduction is not unlike the prologue to a literary work. Returning to Rosen's characterization,[15] we can say that Schubert's introduction possesses the primary quality of a "Romantic" introduction: a well-rounded melody; at the same time, however, we have seen that the introduction's association with the remainder of the movement is anything but forced, and, by implying "a sense of expectancy," it conforms with Rosen's definition of a "Classical" introduction.

The "well-roundedness" of this introduction is largely attributable to its form. Heretofore, we have been referring to the six segments that made up the introduction almost as discrete units, and this conceals an important fact. The recurrence of the signature melodic material of I1--albeit altered--in I3 and again in I6 suggests that the introduction is actually a loose five-part Rondo structure. In order so to understand the opening 78 measures of the movement, we need only regard segments I4 (mm. 38-47) plus I5 (mm.48-60) as a single unit. Such an interpretation is justifiable on harmonic grounds, for the material from I5 (measure 48 and following), in A-flat Major, functions as upper neighbor of V; the dominant harmony, then, is ultimately prolonged from measure 38 (the beginning of I4) through to measure 60 (the conclusion of I5). Figure IV-17 expresses the introduction as a Rondo, and characterizes its background harmonic path as a motion from I to V that leads to the opening of the exposition in measure 78.

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[15] Cited at the outset of this Chapter, see p. 81 ff.

Figure IV-17: The Intro. as a Rondo Structure

	A		B			A^1			C			A^2	
	(I1)		(I2)			(I3)			(I4 & I5)			(I6)	
	1-8	9-16	17	24	28	29	35	36	38	48	59	61	
							$\underline{\text{iv}^6\text{-V}}$	$\underline{\text{I-V}}$					
fg.	I			iii	V	I	vi	III	V	bVI	V^{6-5}_{4-3}	I	V
mg.	I				V	I		III	V			I	V
bg.	I												V

Chapter V

The Remainder of the Work: A Study of Theme Group Two in the Recapitulation and of the Coda

Tonal design is generally recognized as a significant aspect of "traditional" sonata-form theory.[1] One of several assumptions about the form is that the second theme group in the recapitulation will appear in the tonic key; the assumption is founded upon the principle that the tonic presentation responds to, or even clarifies, the initial non-tonic statement of that material from the exposition. This tonal formula can be observed in countless sonata-form movements, thereby elevating the assumption to nearly axiomatic status. An equally-important issue in the Classical model of sonata-form theory is the two-fold return associated with the beginning of the recapitulation, specifically, the simultaneous return to the initial thematic material and to the tonic key. These recapitulatory issues--the double return, and the tonic presentation of the second theme group (represented in figure V-1)--have led James Webster to suggest that "the symmetrical polarity of the exposition as antecedent and the recapitulation as consequent" provides the foundation for the Classical-era conception of sonata form.[2]

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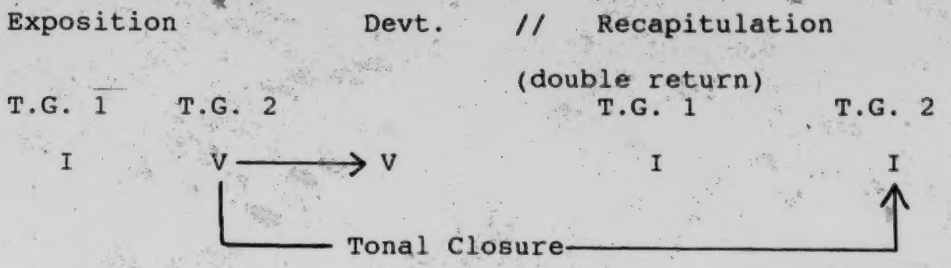
[1] In *Form in Tonal Music*, for example, Douglass Green states, "The sonata form, like the continuous binary forms from which it evolved, is in its very nature rooted in tonality." [p. 218]

[2] James Webster, "Schubert's Sonata Form and Brahms's First Maturity," *19th-Century Music*, Vol. II/1, 1978, p. 18.

Figure V-1: Double Return and Tonal Closure



We have already learned that Schubert is sympathetic to both recapitulatory issues in the opening movement of his Ninth Symphony.[3] But herein lies an analytical dilemma: the tonal formula presented in figure V-1 does not take into account the possibility of a three-key exposition, such as we find in the Schubert.

Let us speculate. One aspect of the antecedent/consequent relationship between the exposition and the recapitulation is the necessity for eventual tonal closure in the consequent. When the second group functions as a foreground prolongation of the dominant key (or any non-tonic key for that matter) in the exposition, its later tonic presentation can be a simple matter: one need only transpose the entire second group--by a uniform interval of transposition--to the tonic key in the recapitulation, and thereby attain the requisite closure (see figure V-2).

In the first movement of his Ninth Symphony, Schubert establishes C minor for the beginning of theme group two in the recapitulation. Thus at measure 440 (2R1), the tonic

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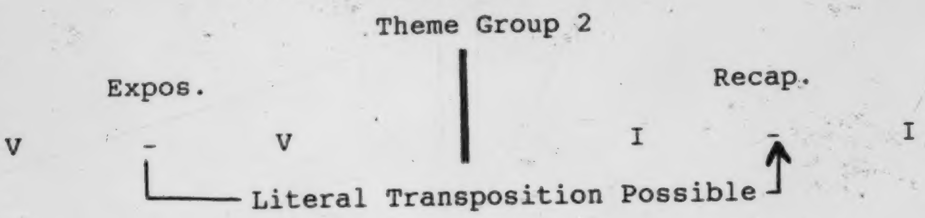
[3] See Chapter One, pp. 21-22.

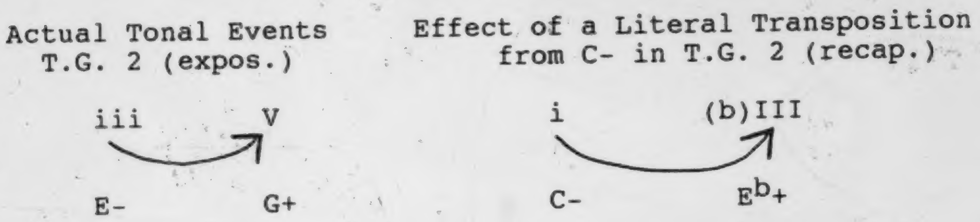
minor answers E minor (the third-divider) from the opening of theme group two in the exposition (m. 134, 2E1).[4]

Figure V-2: *Tonal Closure By Means of a Literal Transposition*


Theme Group 2
Expos.
Recap.
V
-
V
I
-
I
Literal Transposition Possible

Since the background tonal path of the second theme group in the exposition leads from E minor to G Major, its literal transposition to begin in C minor in the recapitulation would result in a non-tonic ending. That is to say, the recapitulation would conclude in E-flat, rather than in C, Major (see figure V-3).

Figure V-3: *Effect of a Literal Transposition in the Recap. of Schubert's Symphony 9/I*


Actual Tonal Events
T.G. 2 (expos.)
iii
V
E-
G+
Effect of a Literal Transposition
from C- in T.G. 2 (recap.)
i
(b)III
C-
Eb+

Obviously, there are numerous ways of avoiding this predicament; for one thing, theme group two in the recapitulation need not preserve the melodic integrity of theme group two in the exposition, and thus a literal transposition of the earlier material is not mandatory. The manner in which Schubert evades a non-tonic conclusion at the end of the recapitulation in Symphony 9/I, however, is nothing short of inspired.

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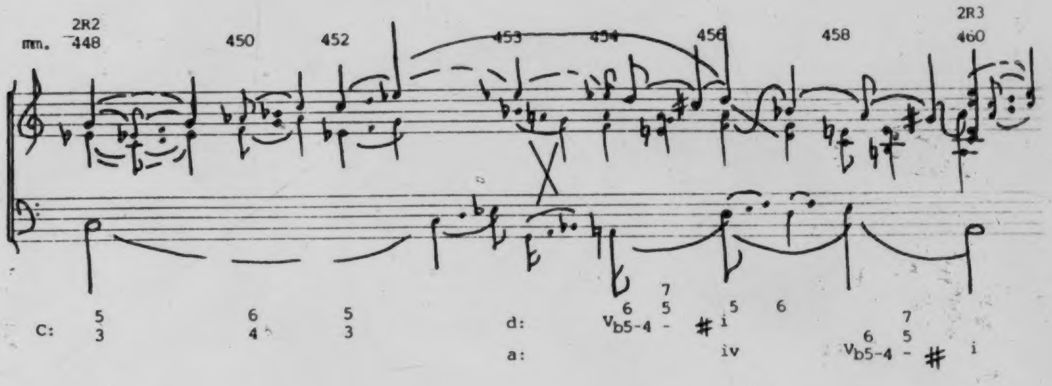
[4] See Chapter One, pp. 21-22.

The first twenty measures of theme group two in the recapitulation (mm. 440-459) deserve close scrutiny. 2R1 (mm. 440-447) is almost an exact transposition of 2E1 (mm. 134-141): from E minor in the exposition to C minor in the recapitulation.[5] 2R2 (mm. 448-451) begins by repeating the initial four measures of 2R1, but thereafter the two segments differ. Figure V-4 presents an analysis of the later segment, in which Schubert effects a modulation to A minor for the opening of 2R3 in measure 460 (see figure V-4).

Figure V-4: mm. 448-460, in Reduction



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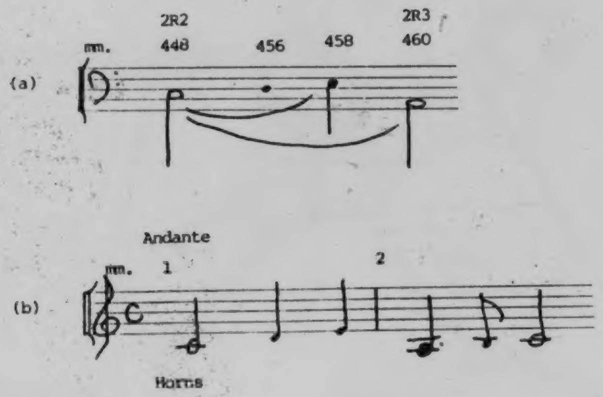
[5] Aside from key, orchestration is the only notable difference between 2E1 and 2R1. The principal melody of 2E1 features the oboe/bassoon pairing, while the combination of oboe and clarinet is exploited in 2R1.

This is a fascinating passage. At twelve measures, the modulation--facilitated by the use of D minor as a chromatic pivot between the two keys[6]--is quite efficient. Further, a deep-middleground analysis of the bass line in this modulation unveils a reference to the symphony's opening gesture (compare figures V-5(a) and (b)).

Figure V-5: A Comparison of 2R2-2R3 and the Opening of the Movement



The tonicization of A minor in measure 460 can now be placed in its proper context. A literal transposition of the exposition's second theme group that commences on vi in the recapitulation not only results in tonic closure, but does so by maintaining the melodic integrity of the earlier material. The establishment of A minor in the recapitulation thus effectively removes the potential of a non-tonic ending, for the tonal path of the antecedent (T.G. 2 expos.), unfolding a motion from iii to V, is answered in the consequent (T.G. 2 recap.) by a motion from vi to I (see figure V-6).

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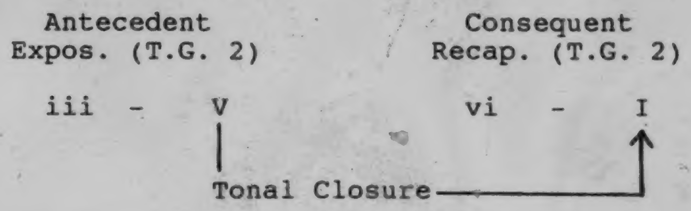
[6] D minor is not a diatonic chord in the key of C minor, but, rather, is the product of simple mixture.

Figure V-6: Theme Groups Two, Expos. and Recap.



In one sense, the commencement of the recapitulation's second theme group in C minor can be likened to the effect of a "false-reprise," for in both cases the requisite tonality is delayed by the presentation of expected melodic material in a deceptive key. But whereas the false-reprise is usually a rhetorical device, the C-minor opening of the second theme group in this recapitulation serves a different purpose. Edward Cone coins the term "sonata principle" when speaking of the composer's formal obligation to ensure "that important statements made in a key other than the tonic must either be re-stated in the tonic, or brought into a closer relation with the tonic, before the movement ends."[7] If Schubert had simply begun theme group two of the recapitulation in A minor, the enunciation of sonata principle would have been less pronounced than it is when the initial phrase of that group is presented in the tonic minor key.

2R3 through to the conclusion of the recapitulation in 2R14 represents a literal transposition of the exposition's second theme group; thus a detailed discussion of this portion of the work would be tautological.[8] An important question, however, must now be posed: if all explicit structural demands of a sonata form have been realized at the conclusion of the recapitulation, what, then, is the purpose of a coda? When a coda is relatively short in comparison to the overall dimensions of the movement, it usually serves as a forceful extension of the tonic chord. The question of purpose, however, is more perplexing in the case of a lengthy coda, such as we encounter here.[9] To state the obvious, Schubert must have felt that the material contained in the final 116 measures of the movement addresses issues not treated earlier in the work; said another way, all implicit structural demands of this sonata form are not realized at the conclusion of the recapitulation.

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[7] Edward Cone, *Musical Form and Musical Performance*, (New York: W. W. Norton and Company Inc., 1968), 77.

The argument is cast in a different light if one shares Charles Rosen's opinion that "the coda is essentially a part of the recapitulation in the eighteenth century and even later."[10] Initially, Rosen's conjecture seems to be an abuse of terms, but upon reflection, it is logical. We have

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[8] A clarification is in order: 2E2 is a repetition of 2E1. There is, however, no repetition of 2R3 in the recapitulation.

[9] As it happens, the coda is lengthier than the development section of this movement.

[10] Charles Rosen, *Sonata Forms*, 280.

determined that--more than anything else--sonata form is a tonal form, and perhaps it follows that the application of labels (e.g. exposition, development, and recapitulation) should be based on tonal issues alone: the exposition begins in the tonic, and all tonic-key material therein is referred to as theme group one. The establishment of the antithetical non-tonic key area in the exposition is called theme group two; the "central" portion of the movement (the development) features an excursion through several keys, but ultimately prepares for the recapitulation by first establishing, and then extending V in its retransition--and once more, tonal issues delimit the segmentation; finally, by definition, the recapitulation serves as a prolongation of the home key, and provides the entire movement with tonal stability. If the "function of the coda is the reaffirmation of the tonic,"[11] then perhaps the coda is best described as a component of the tonally stable recapitulation.

Rosen's annexation of the coda by the recapitulation, however, is not a universally-shared strategy. Douglass Green states, "sometimes composers have provided their sonata forms with lengthy codas so full of significance that they are heard as equaling in importance any of the preceding sections [of the work]."[12] Taken at face value, this statement suggests that, for Green at least, the coda can be a distinct section of the sonata-form movement.

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[11] Rosen, *ibid.*

[12] Douglass Green, *Form in Tonal Music.*, *op. cit.*, 226.

Another factor must be taken into consideration. Some codas are merely transpositions of the exposition's codetta. When that is the case, Rosen's conception of the coda as a component of the recapitulation is acceptable. The coda of the Schubert, however, is not a direct response to the conclusion of the exposition, and Green's interpretation of a coda as a distinct section of a work is, therefore, more appropriate here. Regarding a coda as a component of the recapitulation tends to undermine its relevance, yet it would seem that Schubert attempts to realize precisely the opposite in Symphony 9/I.

Figure V-7 presents an outline summary of the coda.

Figure 7: Outline Summary of the Coda in Sym. 9/I

Segment	Derivation	Comments
C 1 (20 mm.)		
(i) C 1.1 mm. 570-578 (8 mm.)	E2/R2	note: absence of E3/R3.
(ii) C 1.2 mm. 578-590 (12 mm.)	E4/R4	
C 2 (60 mm.)		
(i) C 2.1 mm. 590-612 (22 mm.)	E1/R1	-opening of C 2.1 patterned on counter-melody of E1
	C 1	-some rhythmic/melodic similarities to C 1.2 (esp. mm. 581-582)
	D 2.3	-minimal reference to D 2.3 (esp. compare mm. 296 (ff.) and mm. 592 (ff.)
(ii) C 2.2 mm. 612-650		-varied repetition of C 2.1
C3 (12 mm.)		
(i) C 3 mm. 650-662	E1/R1	-interpolation of mm. 92-93
C4 (14 mm.)		
(i) C4 mm. 662-685	I 1	"signature" motive.

The preceding chart indicates that the final 116 measures of Symphony 9/I are patterned on melodic material heard elsewhere in the movement.

C 1 (mm. 570-590) consists of two phrases, eight and twelve measures respectively. C 1.1 (mm. 570-578) is identical to material from the first theme groups of the exposition and the recapitulation, specifically, E2 and R2, while C 1.2 (mm. 578-590) is closely associated with E4 and R4. The omission in the coda of material corresponding to E3 and R3 is significant. E3 and R3 are transitional, and prepare for non-tonic keys at the outset of E4 and R4: the former effects a modulation from C Major to F Major for the commencement of E4; while R3 leads from the tonic to E Major for the opening of R4 (see figure V-8).[13]

Figure V-8: E3 and R3, Two Transitional Segments

	EXPOSITION			RECAPITULATION		
	E3		E4	R3		R4
mm.	102	109	110	380	391	392
	C+	V^7/F	F+	C+	V^7/E	E+

By omitting this modulating material, the first segment of the coda prolongs C Major throughout its twenty measures; but more than this, the omission renders C 1 recapitulational in nature, for measures 578-590 serve as a tonic response to, or clarification of, material not previously heard in the home key.[14]

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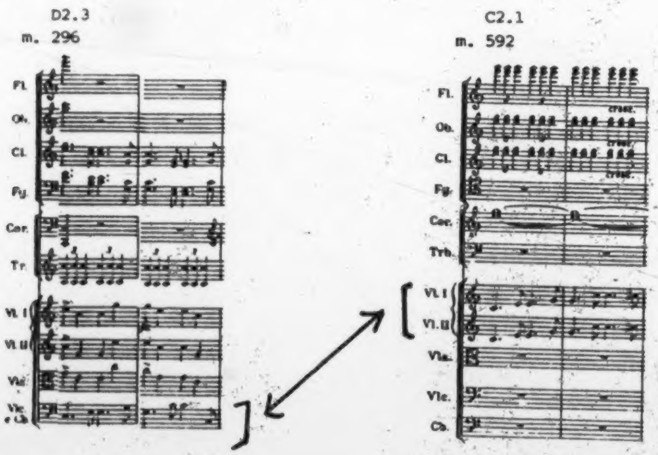
[13] For a more detailed account of these passages, refer to Chapter One above (pp. 8 ff.).

[14] Additionally, the tonic prolongation throughout C1, and, in particular, the home-key presentation of melodic events from E4 and R4 in C 1.2, further substantiates Cone's observations about "sonata principle," that is, the formal need to render significant non-tonic material in the home key prior to a work's conclusion.

C 2 (mm. 590-650) is also divisible into two phrases, C 2.1 (mm. 590-612), and its varied repetition, C 2.2 (mm. 612-650). Arpeggiation is fundamental to the melodic design of both phrases. The motive, while generic in nature, is not unrelated to earlier events in the movement, in particular, there are strong rhythmic and gestural similarities between C 2 and the opening segment of both the exposition and the recapitulation.

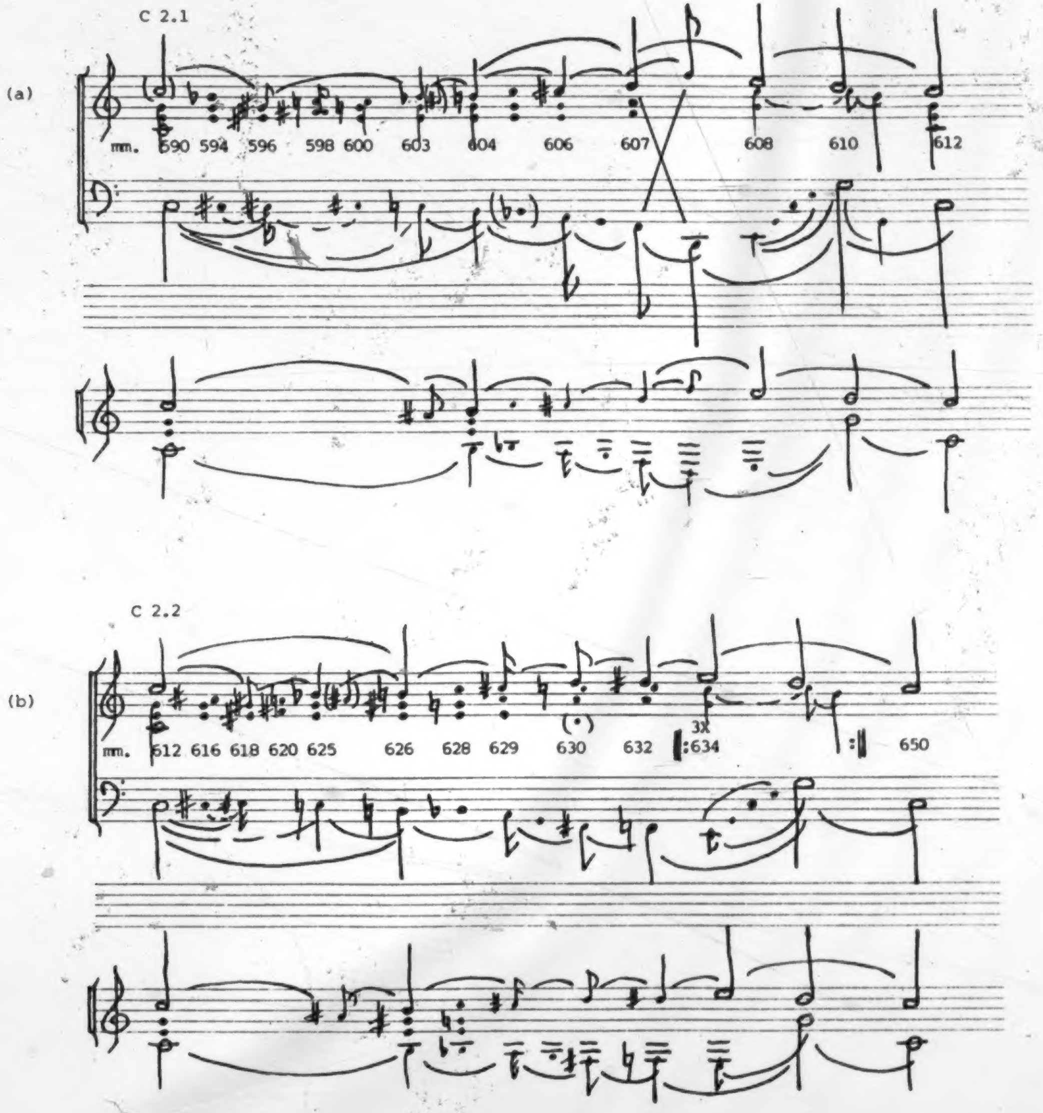
The cascading arpeggios in the string choir beginning in measure 592 devolve from the previous two measures in the woodwinds. There is, however, a more direct source from which this material is drawn, namely, the opening of D 2.3 (mm. 296-297); the Cello/Bass gesture from the development section and the Violin motive in the coda are nearly identical (see figure V-9).

Figure V-9: A Similarity Between D 2.3 and C 2.1


D2.3
m. 296
Fl.
Ob.
Cl.
Fg.
Cor.
Tr.
Vl. I
Vl. II
Vla.
Vlc. e Cb.
C2.1
m. 592
Fl.
Ob.
Cl.
Fg.
Cor.
Trb.
Vl. I
Vl. II
Vla.
Vlc.
Cb.
cresc.

From a structural perspective, the events of C 2 are of seminal importance to both the coda and, moreover, the entire first movement of the symphony. Figure V-10(a) provides an analysis of C 2.1 (mm. 590-612), while figure V-10(b) is a reduction of C 2.2 (mm. 612-650).

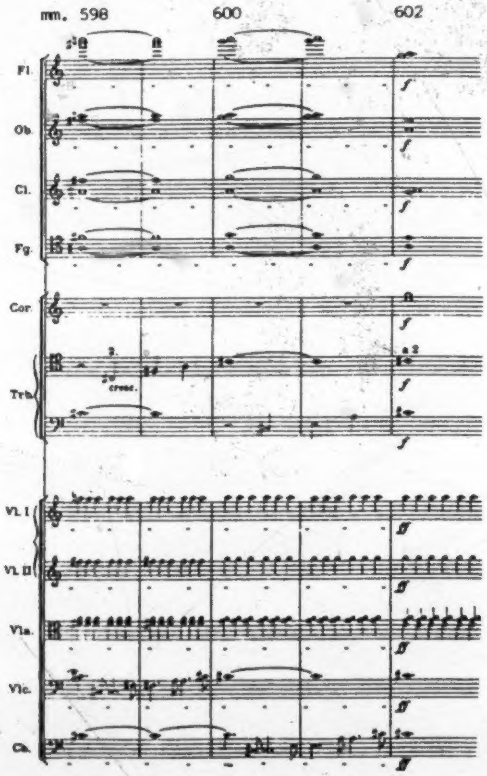
Figure V-10: C 2.1 and C 2.2, in Reduction


C 2.1
(a)
mm. 590 594 596 598 600 603 604 606 607 608 610 612
C 2.2
(b)
mm. 612 616 618 620 625 626 628 629 630 632 3X :634 :‖ 650

Ultimately, each passage expands the tonic chord, moves through an intermediate event, and then on to the dominant, before returning to the tonic. But while C 2.1 and C 2.2 begin and end in a similar way, they are not identical.

The distinction between the phrases can be accounted for. From figure V-11 we learn that Schubert breaks with the arpeggiating chordal interplay between the cellos and the basses in measure 602 (C 2.1), suggesting that a point of articulation has been reached (see figure V-11).[15]

Figure V-11: Toward a Point of Articulation in m. 602



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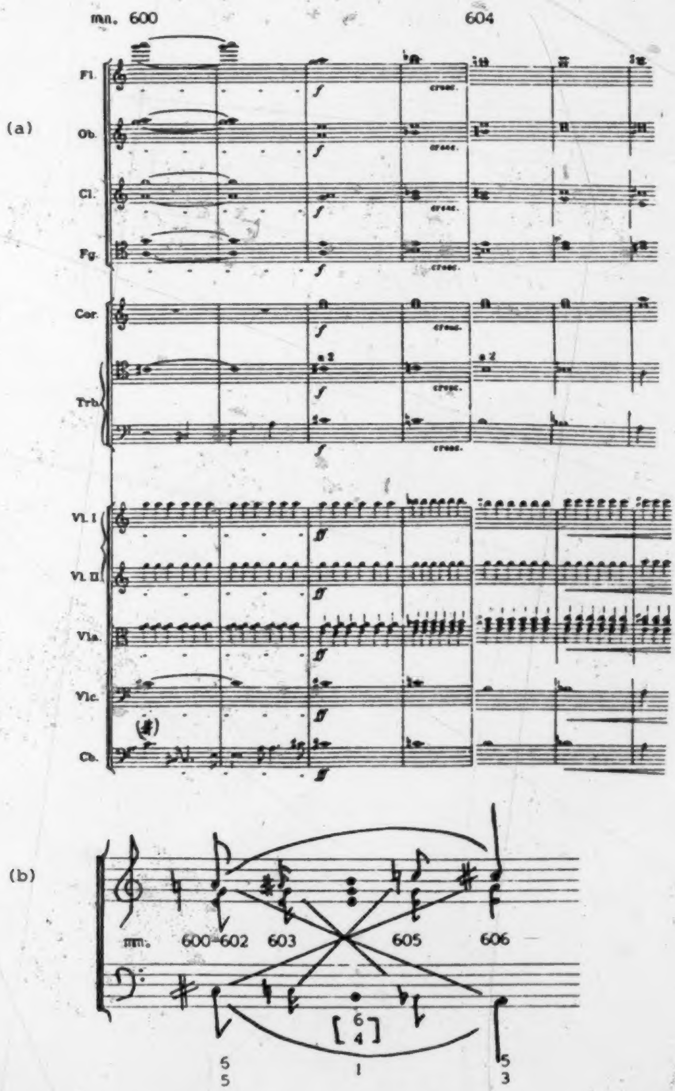
[15] Measure 602 is further emphasized by the fact that it represents the culmination of a *tutti* crescendo.

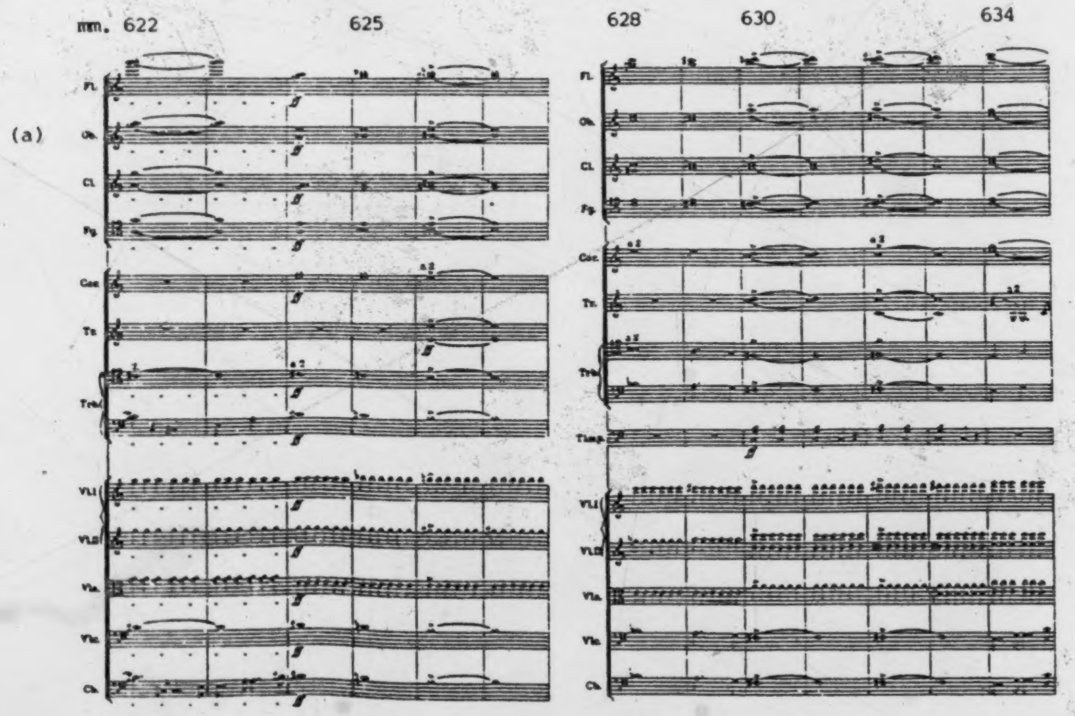
Measures 600-606 expand a secondary dominant chord, V of ii in C Major. Included in the passage, however, is a subtle passing motion through an E minor chord (m. 604)--invoking a back-reference to the tonality of the third-divider at the outset of theme group two in the exposition (see figure V-12).

Figure V-12: A Harmonic Back-Reference to the Expos.

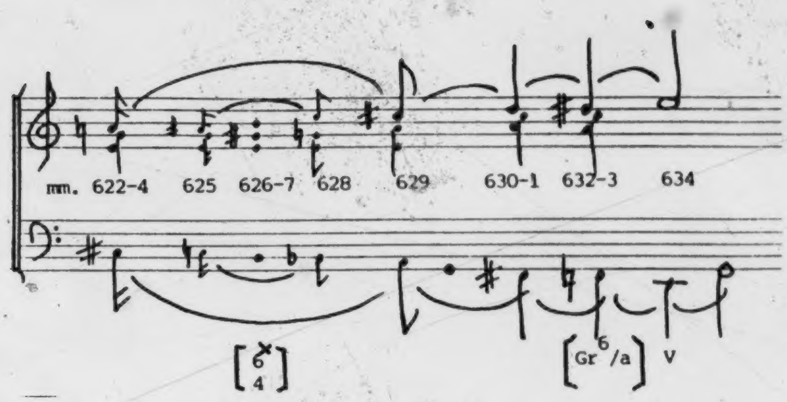

(a)
mm. 600
604
Fl.
Ob.
Cl.
Fg.
Cor.
Trb.
Vl. I
Vl. II
Vla.
Vlc.
Cb.
f
cresc.
a 2
ff
(♯)
(b)
mm. 600-602
603
605
606
6
5
[6
4]
1
5
3

Herein lies the distinction between C 2.1 and C 2.2, for C 2.2 avoids the allusion to E minor. The first fourteen measures of the later phrase (mm. 612-625) are identical to the opening portion of C 2.1. The German-sixth chord in measure 625, however, precedes an E *Major* sonority in second inversion, rather than the *Minor* six-four chord, to which the German-sixth progressed in C 2.1. An eight-measure stepwise bass descent follows, and leads to the goal-tone F in measures 632-633. The harmonic support at this point in the passage is the German-sixth chord of A minor, which provides an unequivocal reference to the requisite tonality for the opening of theme group two in the recapitulation (see figure V-13).

Figure V-13: *A Harmonic Back-Reference to the Recap*.



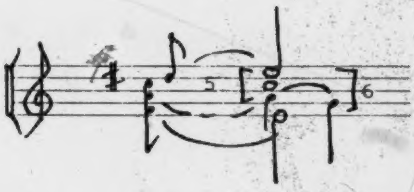
(b)



Thus, C 2.1 and C 2.2 in turn summarize the tonal path traversed by the exposition and by the recapitulation.

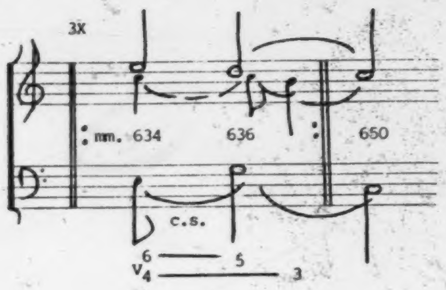
In beginning the final 17 measures of C 2.2 (m. 634), Schubert employs a form of 5-6 technique so as to enable the apparent first-inversion tonic chord to substitute for the expected dominant six-four of vi (see figure V-14).

Figure V-14: Substitution through 5-6 Technique



That the tonic chord of measure 634 is apparent rather than real is confirmed in measure 636 with the arrival of the bass note G, which supports the dominant harmony. Indeed, measures 634 through 637 prolong V in a traditional way, through a $\begin{smallmatrix}6 - 5\\ 4 - 3\end{smallmatrix}$ motion that is further elaborated by a consonant skip in the bass voice (i.e. from E to G (see figure V-15)).

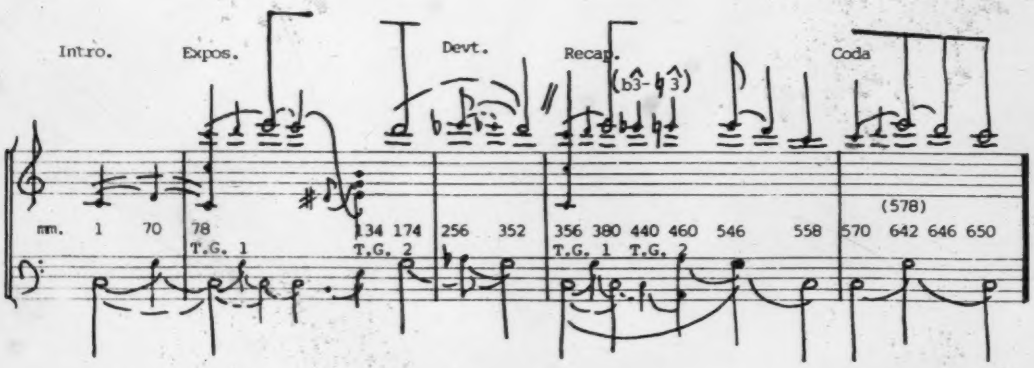
Figure V-15: The Dominant Prolongation in mm. 634 ff.


3X
mm. 634
636
650
c.s.
6
V4
5
3

Significantly, the dominant harmony in measure 634 is accompanied by the re-establishment of the head-tone, e^6, in the uppermost voice; an important moment has now been reached, for what ensues (mm. 634-650) is nothing less than the principal descent of the *Urlinie*.

The background analysis of the movement is provided in figure V-16.[16]

Figure V-16: Sym. 9/I, the Background Analysis


Intro.
Expos.
Devt.
Recap.
Coda
(b3̂-♮3̂)
mm.
1
70
78
T.G. 1
134
174
T.G. 2
256
352
356
380
440
460
T.G. 1
T.G. 2
546
558
570
(578)
642
646
650

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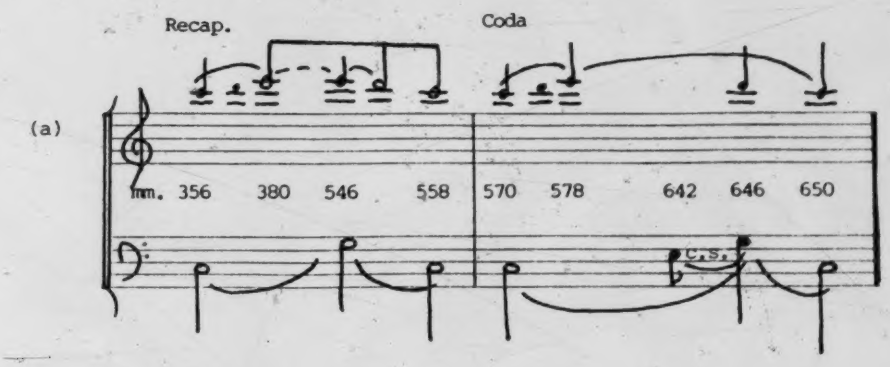
[16] For the following discussion, it may prove useful to consult the deep-middleground analysis of the movement labelled "Appendix A" and found in the pocket attached to the inside back cover of this Thesis.

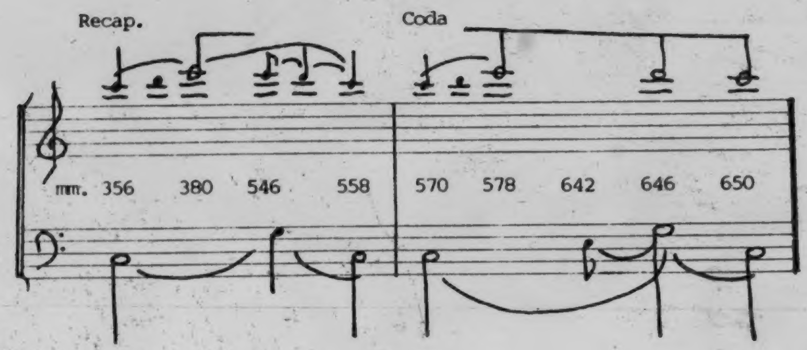
We note that together the exposition and the development exhibit the principle of interruption. The head-tone, e^6, is established in and prolonged throughout the first theme group of the exposition. At the outset of theme group two (m. 134), the head-tone moves to an inner voice, where it is supported by E minor. The obligatory register of the primary melodic descent is re-established in measure 174 with the coincidence of scale-step two (d^6) and dominant harmony. $\underset{V}{\hat{2}}$ is prolonged from measure 174 until the end of the development section; interruption occurs with the double return (tonic harmony and initial thematic material) at the opening of the recapitulation in measure 356.

Interpreting the location of the ultimate melodic descent in this movement is difficult, for two different solutions are possible. In figure V-17(a), a case is made supporting the notion that the background third-descent is realized in the final segment of the recapitulation, while in figure V-17(b), the descent does not take place until the second segment of the coda (see figure V-17).

Figure V-17: Identifying the Descent of the Fundamental Line



(b)



Each of the solutions offered in figure V-17 promotes a different understanding of this movement. Acceptance of figure V-17(a) advances the conceit that all formal obligations are realized with the conclusion of the recapitulation. In such a view, the 116-measure coda of the Schubert can only unfold foreground gestures. While it is certainly true that some codas do little more than reinforce the final tonic chord, there is strong evidence to suggest that the nature of this coda is not merely ornamental: first, the establishment of the head-tone is arrived at in precisely the same manner in the exposition (E2), the recapitulation (R2), and the coda (C 1.2, m. 578).[17] It would be difficult to argue that this third third-ascent to e^6 is any less profound than either of the previous two; further, the realization of what Cone calls the "sonata principle"--through the tonic presentation of E4/R4 in C 1.2--exposes the exigency of this coda;[18] finally, one cannot trivialize the elevated weight of the dominant prolongation in the three-fold repetition of the $V^{6\,-\,5}_{4\,-\,3}$ motive (supporting $\hat{3}$ to $\hat{2}$) in C 2.2 (see mm. 634-649). It seems logical that the arrival of the background $\hat{1}$ of the entire movement should receive substantial foreground, or surface-level, articulation.[19]

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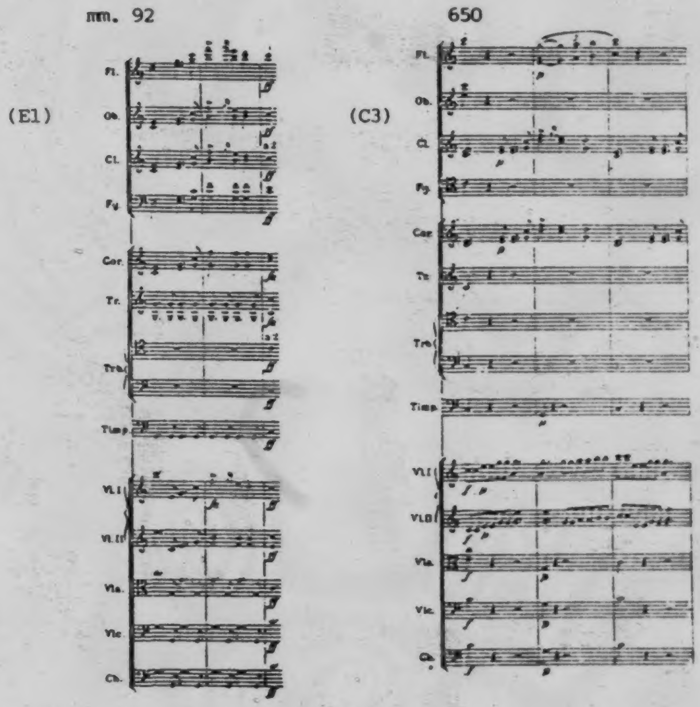
[17] Concerning the similarity between C 1.2 and E2/R2, see pp. 106-107 above.

[18] For a more complete discussion of "sonata principle," see p. 103 and footnote 14 above.

Tonic extension is one aspect of the remaining sections of the coda--C 3 (mm. 650-662) and C 4 (mm. 662-685)--but, again, possibly not the chief issue. For its primary melodic material, C 3 exploits a motive drawn from the conclusion of E1 (mm. 92-94 (see figure V-18)).

Figure V-18: A Motivic Similarity Between E 1 and C 3



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[19] That the approach to $\hat{1}$ in m. 650 receives greater foreground emphasis than the approach to $\hat{1}$ in m. 558 is, perhaps, a subjective judgment.

The interpolation of the expositional material in C 3 is fitting, for it heightens the significance of what was only a subordinate, or secondary, motive in E1. By so doing, Schubert casts in a different light material from an earlier point in the work--a procedure consistent with his approach to the entire coda. The most striking example of "recasting" of earlier material, however, is reserved for C4 (mm. 662-685), for this final segment of the coda begins with a melodic quotation of the opening motto of the composition. We recall that the Symphony's "signature" motive is present--in varying degrees of thematic alteration--in each of the sections of the movement.[20] C 4, however, supplies the only restatement of the introduction's primary melodic gesture.

At the very least then, it can be said that the coda draws upon, and in some respects summarizes, melodic events from the introduction, the exposition, the development, and the recapitulation. In this way, the final 116 measures of Symphony 9/I function as much more than an extension of the tonic harmony. Further, by concluding the coda with a restatement of the work's opening gesture, we are provided with yet another example of the prominent role of the symphony's introduction. These points demand that we establish the function of the outer sections of the movement--the introduction and the coda--in light of the form as a whole.

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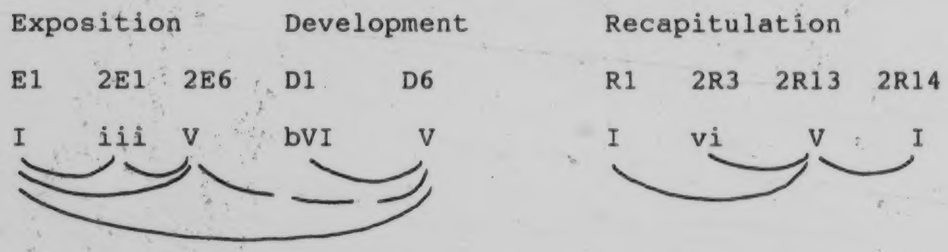
[20] See, for instance, the description of the principal melody of 2E9, in Chapter Two (p. 40) above.

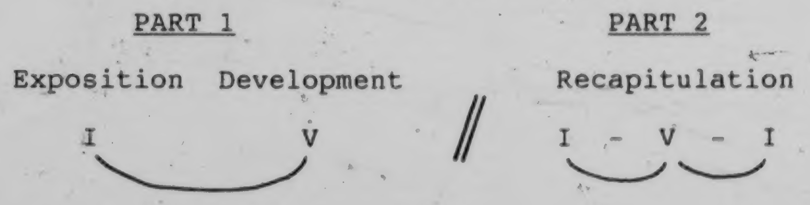
The deep-level background summary of the tonal structure of the exposition, the development, and the recapitulation is shown in figure V-19. Expressed in it is the motion from the initial tonic to the dominant harmony (the exposition), the prolongation of the dominant plus the ensuing interruption (the conclusion of the development), and the expected tonic closure (provided in the recapitulation (see figure V-19)).

Figure V-19: Tonal Structure in the Expos., the Devt., and the Recap.


Exposition
Development
Recapitulation
E1 2E1 2E6 D1 D6
R1 2R3 2R13 2R14
I iii V bVI V
I vi V I

In a tonal sense, figure V-19 furnishes proof that the Schubert conforms to the classic interpretation of a sonata-form movement; that is, the exposition, the development, and the recapitulation of this work define it as a two-part (double-period) form (see figure V-20).

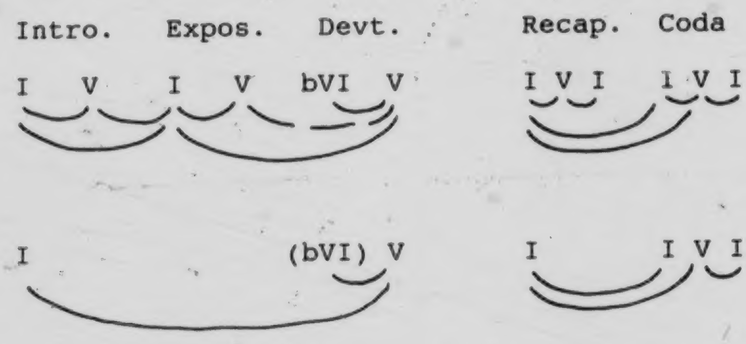
Figure V-20: The Two-Part (Double-Period) Form


PART 1
PART 2
Exposition Development
Recapitulation
I V
//
I - V - I

But this definition is incomplete, for it does not take into account the outer sections of the movement (the introduction and the coda), and given their prominent role, such an omission is a serious oversight.

A detailed account of the tonal form of Symphony 9/I is found in figure V-21.

Figure V-21: The Tonal Structure of the Complete Movement



This interpretation does not contradict the traditional/Classical one that exposes the symmetrical polarity of the exposition as antecedent and the recapitulation as consequent. Instead it recognizes the elevated role of the introduction and the coda, and thus places the Classical account in the expanded context of a Romantic sonata-form movement.

It is appropriate, then, to regard the Schubert as an early example of what James Webster cites as a trend in the nineteenth century, that sees

> The weight of Romantic sonata form . . . often displaced away from the symmetrical polarity of the exposition as antecedent and the recapitulation as consequent, onto the development as climax and the coda as

apotheosis."[21]

In music, the term "apotheosis" is perhaps nowhere more appropriate than when used in reference to the coda from the first movement of Schubert's Ninth Symphony, for the work is indeed elevated to a higher realm by events that occur in its final 116 measures.

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[21] James Webster, "Schubert's Sonata Form," *op. cit.*, 18.

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